



HEALTH & SAFETY MODULE (SSIP ASSESSMENT) GUIDANCE DOCUMENTS

Please see following guidance documents for each type of application

SSIP Approved

SSIP Approved: Contractor

SSIP Approved: Principal Contractor

SSIP Approved: Designer

SSIP Approved: Principal Designer

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

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2. CQMS Portal - H&S Contractor module guidance
3. CQMS Portal - H&S Principal Contractor module
4. CQMS Portal - H&S Designer module guidance
5. CQMS Portal - H&S Principal Designer module

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If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

MODULE GUIDANCE:

H&S SSIP APPROVED

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Purpose:

Safety-Scheme assesses a supplier's compliance with the minimum standards detailed in the SSIP Core Criteria for a health and safety assessment and is also compliant with PAS 91. Our assessment procedures adopt control principles based on ISO 17020, which is the standard used by UKAS to approve Inspection Bodies.

The 'H&S SSIP Approved' module is appropriate for companies who carry out works which are classed as 'non construction' i.e. fall outside of the construction industry and CDM dutyholder definitions, such as professional consultants, domestic cleaners, hauliers, etc.

It is to be noted that only activities undertaken by direct employees and labour only subcontractors/subconsultants can be included in the assessment; any works undertaken by subcontract organisations can NOT be included within the trade / activities assessed against [see SSIP Rules & Bylaws section 9.5].

If you think that the SSIP Approved module may not be right for you, please contact CQMS to discuss prior to completing.

This guidance explains the topics covered in the SSIP Approved assessment, the requirements and standards to which we assess in line with the SSIP Core Criteria. Please note that the CQMS Safety-Scheme assessment is a desktop-only assessment, we do not witness the work you undertake, and as such evidence needs to be uploaded for each section to support your response.

If you are unsure of the requirements or standards, or how they apply to your organisation, after reading the relevant parts of this guidance document please contact CQMS Safety-Scheme and a member of our team will be happy to help. We provide support and guidance to companies undergoing assessment with us free of charge.

Requirements & Standards:

There are 2 routes to completing the H&S SSIP Approved module:

1 – full assessment through CQMS Safety-Scheme by completing all questions in the module and uploading supporting evidence. Upon successful completion you will receive a certificate valid for 12 months and your company details will be entered onto the SSIP Portal.

2 – 'deemed to satisfy' (DtS) assessment using existing valid H&S assessment completed by another SSIP member scheme (either a 'full member' or a 'certification body member' as listed on the [SSIP website](#)). The corresponding CQMS Safety-Scheme certification you receive will be aligned to the original assessment so will expire at the same time.

You can 'save' the module at any time and return to complete it later. Please note that the module will not be complete or submitted to CQMS until you have submitted it by clicking the yellow 'SUBMIT' button shown below:

Module status: Awaiting completion

H&S SSIP Approved

Submit ↗

Save responses 🔒

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Page 1 - General information

This section is to be completed by all companies, regardless of the route to completing the module.

Trade/activities to be assessed:

This must be fully completed to detail all the activities that your company undertakes which you want to receive certification for, which will appear on your certificate and the SSIP Portal.

If you are applying through route 2 (DtS), CQMS Safety-Scheme will review the detail you provide against the information on the SSIP Portal to ensure that your original assessment covered the same activities. If the original assessment covers fewer, or different, activities to those you detail on the CQMS module we will query this with you prior to accepting the DtS, and you will be asked to either undergo a full assessment with CQMS Safety-Scheme to cover the additional activities, or go back to your original assessment provider to ask them to update the SSIP Portal.

Company size:

You must declare the number of direct employees, labour only subcontractors and bona fide subcontractors this year, and the previous year. The ‘total number of personnel employed by the company’ is the total of direct employees and labour only subcontractors (column 1 + column 2), and is the number which is uploaded to the SSIP Portal if CQMS Safety-Scheme undertake a full assessment, or the number which we check against the SSIP Portal if you apply through route 2 for a DtS assessment. If the SSIP Portal shows less than 5 persons employed, but your ‘total number of persons employed’ on the CQMS module shows 5 or more, we cannot accept the request to DtS and will query this with you.

e.g.:

Please detail the size of your Company over the past two years:

	Number of Direct Employees	Number of Labour Only Subcontractors	Total Number of People Employed by the Company	Number of Bona Fida Subcontractors
This year	3	4	7	5
Last year	2	9	11	5

Type of assessment:

If you are applying through route 1 (full assessment with CQMS Safety-Scheme), please choose the first option. This will open up the remainder of the questions in the module on subsequent pages for full completion.

If you are applying through route 2 (DtS), please choose the second option. You will then enter the details of the original SSIP member scheme who undertook your H&S SSIP Approved assessment, the expiry date of your certification. You can then ‘submit’ your module to CQMS Safety-Scheme which generates a notification to us to confirm that your module has been completed.

Page 2 - Health and Safety Policy, Organisation for Health and Safety & Arrangements

A written Health and Safety Policy must consist of the following sections:

- **Health and Safety Policy Statement:**
 This statement outlines the company’s commitment to health and safety and details the aims and objectives of the company.
 It is to be signed and dated by a senior person (e.g. Managing Director) within the last 12 months.
- **Organisation/Responsibilities:**
 This section should set out the names (or positions) and their health and safety duties of those who have specific responsibilities for health and safety, such as personnel who provide induction training, report and investigate accidents/incidents, have overall responsibility for health and safety, etc. Employees should also have a precise summary of their duties as defined in health and safety legislation.
- **Arrangements:**
 The final section of the Policy details the arrangements that have been put into place to meet the aims and objectives listed in the Policy Statement, and detail how risks will be managed and controlled. The Arrangements should be tailored to your company, its activities and risks, but is likely to cover items such as:

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

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> Asbestos	> Hazardous substances	> Working at height	> Manual handling
> First aid & welfare facilities	> Work equipment	> Selection and use of contractors	> Information and training
> Alcohol & drugs policy	> Monitoring, auditing & review	> Risk assessment and safe system of work	> Noise and vibration
> Accident/incident reporting and investigation	> Consultation and communication with employees	> Fire and evacuation procedures	> Personal protective equipment

This is not an exhaustive list.

By law all companies must have a policy for managing health and safety which explains how you, as an employer, will manage health and safety in your business. It should clearly say who does what, when and how. If you have 5 or more persons employed, you are required by law to write your Policy down, and ensure it covers all sections listed on the previous page.

The SSIP requirements are for all companies to be able to demonstrate and provide a clear explanation of the policy and arrangements regardless of size; so if you have less than 5 persons employed we will ask you to have a minimum of a written Policy Statement so you can suitably demonstrate this. A template can be downloaded from the [HSE website](#).

Questions 4, 5 and 6 on this page must be completed with a response but it is only advisory to have these in place, not mandatory, so if they are not in place and you respond 'no' the Auditor will give an 'opportunity for improvement' but will not fail these questions.

Page 3 - Competent Advice

All companies are required by law to appoint one or more 'competent persons' to ensure the company meets its corporate health and safety legal duties. A 'competent person' is someone who has the skills, knowledge, experience and training to be able to recognise hazards and help you to put sensible controls in place to protect workers and others from harm.

The competent person could be a Director, another employee, or someone outside of the business. The key consideration must be their competence. Whilst there is no legal requirement for formal qualifications to be held, it is usually very helpful; e.g. NEBOSH General Certificate, NEBOSH Construction Certificate, NVQ level 4 in Occupational H&S, etc and the Auditor will be looking at how they are deemed 'competent'.

Please note that if you provide details of an external Consultant/Adviser, the Auditor will contact them to verify that they provide services and have been appointed as your Competent Person for health and safety. Any discrepancies will be raised as a query with you.

Page 4 - Training

You need to show that you have, and implement, training arrangements to ensure the people you employ have the skills and understanding necessary to competently and safely complete their work tasks, and that a programme is in place to provide refresher training where necessary. The persons you employ are expected to have the appropriate qualifications and experience for the assigned tasks (unless they are trainees working under direct competent supervision).

To meet this standard, we ask you to provide a training matrix showing the training held by each person in the company (both direct employees and labour only subcontractors/subconsultants) and its date or expiry date. This is usually provided in the form of a spreadsheet. If the Auditor believes that a certain type of training should be held which is not detailed on the training matrix, they will raise this as a query with you. They will also cross reference the number of individuals listed on the training matrix against the total number of people employed by the company as declared on page 1 and any discrepancies will be queried with you.

We then require evidence for each type of training listed on the training matrix (including that requested by Auditors), for example copies of certificates, cards, delegate attendance lists, etc. The module questionnaire prompts you to provide specific evidence of training, such as asbestos training if you work on properties built/refurbished prior to the year 2000, professional / trade-specific qualifications (this will be dependent on the services you provide), plant / equipment training if applicable, in-house

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training (e.g. tool box talks, CPD), Fleet Operations / Management Scheme and any other evidence for training listed on the training matrix.

This sections also asks for details of Construction Skills Certification Scheme (CSCS) cards, although these relate to construction works. If your workforce does not have CSCS cards, please confirm this in your response and you will not be penalised (unless other documentation you have provided states CSCS cards are held!).

Please note that the Auditors also cross reference the content of the Health and Safety Policy, Risk Assessments and Method Statements you provide to ensure that any control measures which require training are in place. For example, if the use of face masks is listed as a control measure but evidence of successful face fit testing is not provided (e.g. certificate or pass report) then this will be queried with you and requested.

Page 5 - Monitoring, Audit & Review

You should have a system for monitoring your procedures, auditing them at periodic intervals, and reviewing them i.e.:

- Reviewing your policies, procedures and any written documentation i.e. Health and Safety Policy, Risk Assessments, etc and updating them where necessary – an audit report, management review meetings, etc would be suitable evidence;
- Monitoring/auditing your site activities to determine compliance with your policies, procedure, written documentation, industry standards etc – a site inspection report is usually provided as evidence for this;
- Ensuring that plant/equipment is safe for use, e.g. PAT testing records, etc.

You may have assistance from an outside source to do this, such as an external H&S Consultant or auditor, or you may manage this in-house. The evidence must be provided from within the last 12 months and must be completed copies of documents - blank templates are not acceptable. For very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 6 - Workforce Involvement

You should have, and implement, an established means of consulting with your workforce on health and safety matters. Larger companies are expected to have a health and safety committee with nominated representatives, however for very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 7 - Accident/Incident Procedures

You should have in place a system for reviewing all incidents, and recording the action taken as a result, in accordance with [RIDDOR 2013](#). This includes holding records of accidents/incidents for at least the last 3 years, and details of enforcement action taken against the company for the last 5 years e.g. HSE improvement/prohibition notices and prosecutions.

Question 3 asks you to complete figures of accidents/incidents – please note that ‘people employed by the company’ refers to employees and labour only subcontractors. Please ensure you only enter details of accidents/incidents and **not** the numbers of personnel/subcontractors used. If there is nothing to declare, please enter ‘0’ in each box.

Where accidents/incidents have occurred, we require details to be provided to briefly explain what happened and the actions you took to prevent a recurrence.

Where there is no record of any accidents/incidents it could potentially be an indication that the workforce are not aware of the requirement to report all accidents/incidents, or it may be an indication that are not encouraged to do so highlighting a poor H&S culture, so the auditor may query this with you depending on your company size and trade/activities undertaken.

Please note that the Auditor will also verify your response to question 5 against publicly available records on HSE databases. Any inconsistencies between your response and the information provided by the HSE will be queried with you.

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

Page 8 - Subcontracting/Consulting Procedures

This section only needs to be completed if you have declared the use of bona fide subcontractors/subconsultants in the 'general information' section on page 1. If you **only** use direct employees and labour only subcontractors/subconsultants, answer 'no' and move on to the next page.

If bona fide subcontractors/subconsultants are used, you are required to have arrangements in place for checking their competence prior to appointing them, ensuring they are suitably experienced and insured, and for monitoring their performance. This involves undertaking a competency assessment yourself (similar to the 'SSIP Approved' assessment you have applied to CQMS for), or ensuring they have been assessed by a suitable organisation e.g. SSIP member, in the last 12 months.

CQMS ask for evidence of your assessments from within the last 12 months, such as a copy of the questionnaire completed by the subcontractor and the evidence they supplied, and evidence to show that you have reviewed it and deemed it acceptable. Blank template documents are not accepted.

Please note that the Auditor will cross refer responses to this section with the information detailed in the General Information section on page 1 and the Health and Safety Policy on page 2 and any inconsistencies will be queried with you.

Page 9 - Risk Assessment Leading to a Safe System of Work

You should have procedures in place for carrying out risk assessments and for developing and implementing safe systems of work/method statements. The identification of occupational health issues is expected to feature prominently in this system. We ask you to provide copies of your General, Manual Handling and COSHH risk assessments and safe systems of work/method statements (RAMS).

These must cover all activities undertaken by your direct employees and labour only subcontractors/subconsultants you have asked us to assess in the 'General Information' section on page 1, have been completed/reviewed within the last 12 months and be site specific. Blank templates are not accepted.

If you employ less than 5 persons and do not have written documentation, you must be able to adequately describe how you identify health and safety hazards and control the risks, and communicate this to your workforce. For high risk trades/activities you may be asked by the Auditor to provide written RAMS.

Please note that the Auditor will cross refer evidence in this section with the information detailed in the General Information and Training sections, and any inconsistencies will be queried with you.

Page 10 - Cooperating with Others & Coordinating your Work with Other Contractors

You should be able to explain how you ensure cooperation and coordination of your work is achieved with others on site to eliminate, or mitigate, risks to the workforce and third parties.

Evidence is required to show how this takes place, and must be dated within the last 12 months.

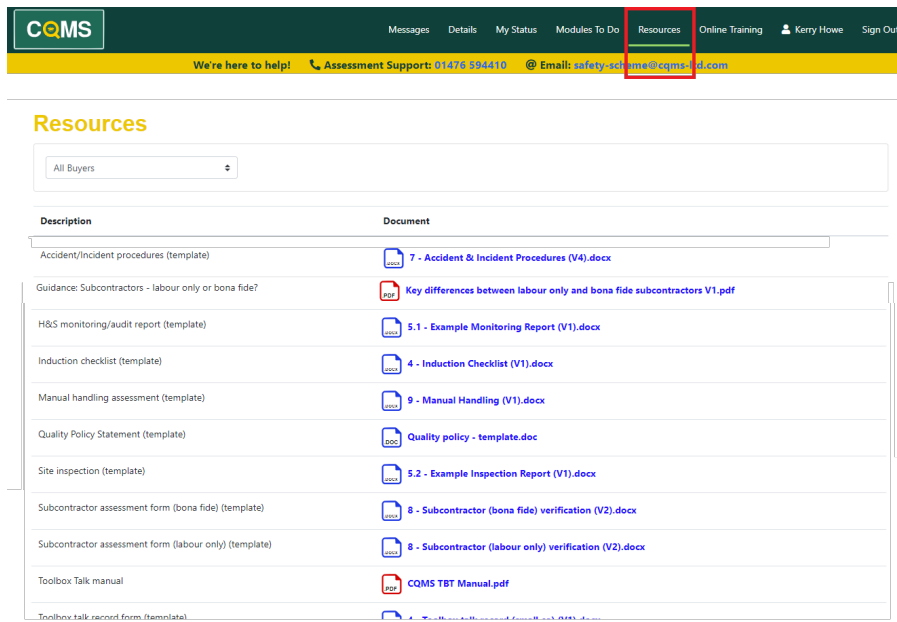
Page 11 - Welfare Provision

You have a legal duty to ensure that persons you employ have access to suitable welfare facilities whilst they are at work. This final section requires you to explain and provide evidence of how you achieve this.

Template Documents:

In addition to the information contained in this guide, CQMS have made available a number of template documents and additional resources which can be used by suppliers to assist them in providing sufficient evidence for the assessment. They can be downloaded, completed with relevant information and then uploaded into the H&S Contractor module.

The template documents can be found in the ‘Resources’ tab at the top of your supplier profile on the CQMS Portal:



Validity & Renewal:

The H&S SSIP Approved module is valid as follows:

Route 1 - if CQMS Safety-Scheme have carried out a full assessment then there will be 12 months given from the date the module is signed off by the CQMS Auditor as ‘complete’.

Route 2 – if you have used an existing SSIP member assessment through the ‘DtS’ process, the expiry date on the CQMS H&S module will mirror that given by the originating Registered Member scheme, or using the ISO45001 expiry date given by the Certification Body Member scheme (the ‘base date’) less 1 or 2 years relative to the base date at the time of DtS application.

This ensures that all suppliers have an annual assessment/surveillance audit [refer to sections 8.4 and 8.5 of the SSIP Rules & Bylaws].

CQMS will issue reminders in advance of expiry to individuals listed as ‘contacts’ on your supplier profile so the renewal process can be commenced.

Further information:

Please see the CQMS Safety-Scheme Terms & Conditions, available on the CQMS Portal login page or request from CQMS Safety-Scheme. The T&Cs provide further information on the CQMS Safety-Scheme processes, fees, etc.

To find out more about SSIP, their members and an indication of their fees, and the DtS process, please visit their website <https://SSIP.org.uk/>

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

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MODULE GUIDANCE:

H&S CONTRACTOR

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Purpose:

Safety-Scheme assesses a supplier's compliance with the minimum standards detailed in the SSIP Core Criteria, and is also compliant with section C4 of PAS 91 and section 4 of the Common Assessment Standard. Our assessment procedures adopt control principles based on ISO 17020, which is the standard used by UKAS to approve Inspection Bodies.

The 'H&S Contractor' module is appropriate for companies who meet the definition given in the [CDM Regulations 2015](#) i.e. carry out 'construction work' as per the definition given in Regulation 2 (but not as a Principal Contractor), e.g. electrician, bricklayer, carpenter, tiler, etc. Guidance on the role of the Contractor is available from the CITB [here](#).

It is to be noted that only activities undertaken by direct employees and labour only subcontractors can be included in the assessment; any works undertaken by subcontract organisations can NOT be included within the trade / activities assessed against [see SSIP Rules & Bylaws section 9.5].

If you think that the Contractor module may not be right for you, please contact CQMS to discuss prior to completing.

This guidance explains the topics covered in the Contractor assessment, the requirements and standards to which we assess in line with the SSIP Core Criteria. Please note that the CQMS Safety-Scheme assessment is a desktop-only assessment, we do not attend site to witness the work you undertake, and as such evidence needs to be uploaded for each section to support your response.

If you are unsure of the requirements or standards, or how they apply to your organisation, after reading the relevant parts of this guidance document please contact CQMS Safety-Scheme and a member of our team will be happy to help. We provide support and guidance to companies undergoing assessment with us free of charge.

Requirements & Standards:

There are 2 routes to completing the H&S Contractor module:

1 – full assessment through CQMS Safety-Scheme by completing all questions in the module and uploading supporting evidence. Upon successful completion you will receive a certificate valid for 12 months and your company details will be entered onto the SSIP Portal.

2 – 'deemed to satisfy' (DtS) assessment using existing valid H&S assessment completed by another SSIP member scheme (either a 'full member' or a 'certification body member' as listed on the [SSIP website](#)). The corresponding CQMS Safety-Scheme certification you receive will be aligned to the original assessment so will expire at the same time.

You can 'save' the module at any time and return to complete it later. Please note that the module will not be complete or submitted to CQMS until you have submitted it by clicking the yellow 'SUBMIT' button shown below:

Module status: Awaiting completion

H&S Contractors

Submit ↗

Save responses 📄

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Page 1 - General information

This section is to be completed by all companies, regardless of the route to completing the module.

Trade/activities to be assessed:

This must be fully completed to detail all the activities that is undertaken by your direct employees and labour only subcontractors for which you want to receive certification for, which will appear on your certificate and the SSIP Portal.

If you are applying through route 2 (DtS), CQMS Safety-Scheme will review the detail you provide against the information on the SSIP Portal to ensure that your original assessment covered the same activities. If the original assessment covers fewer, or different, activities to those you detail on the CQMS module we will query this with you prior to accepting the DtS, and you will

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be asked to either undergo a full assessment with CQMS Safety-Scheme to cover the additional activities, or go back to your original assessment provider to ask them to update the SSIP Portal.

Company size:

You must declare the number of direct employees, labour only subcontractors and bona fide subcontractors this year, and the previous year.

The ‘total number of personnel employed by the company’ is the total of direct employees and labour only subcontractors (column 1 + column 2), and is the number which is uploaded to the SSIP Portal if CQMS Safety-Scheme undertake a full assessment, or the number which we check against the SSIP Portal if you apply through route 2 for a DtS assessment. If the SSIP Portal shows less than 5 persons employed, but your ‘total number of persons employed’ on the CQMS module shows 5 or more, we cannot accept the request to DtS and will query this with you.

e.g.:

Please detail the size of your Company over the past two years:

	Number of Direct Employees	Number of Labour Only Subcontractors	Total Number of People Employed by the Company	Number of Bona Fide Subcontractors
This year	3	4	7	5
Last year	2	9	11	5

Type of assessment:

If you are applying through route 1 (full assessment with CQMS Safety-Scheme), please choose the first option. This will open up the remainder of the questions in the module on subsequent pages for full completion.

If you are applying through route 2 (DtS), please choose the second option. You will then enter the details of the original SSIP member scheme who undertook your H&S Contractor assessment, the expiry date of your certification. You can then ‘submit’ your module to CQMS Safety-Scheme which generates a notification to us to confirm that your module has been completed.

Page 2 - Health and Safety Policy, Organisation for Health and Safety & Arrangements

A written Health and Safety Policy must consist of the following sections:

- **Health and Safety Policy Statement:**
This statement outlines the company’s commitment to health and safety and details the aims and objectives of the company. It is to be signed and dated by a senior person (e.g. Managing Director) within the last 12 months.
- **Organisation/Responsibilities:**
This section should set out the names (or positions) and their health and safety duties of those who have specific responsibilities for health and safety, such as personnel who provide induction training, report and investigate accidents/incidents, have overall responsibility for health and safety, etc. Employees should also have a precise summary of their duties as defined in health and safety legislation.
- **Arrangements:**
The final section of the Policy details the arrangements that have been put into place to meet the aims and objectives listed in the Policy Statement, and detail how risks will be managed and controlled. The Arrangements should be tailored to your company, its activities and risks, but is likely to cover items such as:

> Asbestos	> Hazardous substances	> Working at height	> Manual handling
> First aid & welfare facilities	> Work equipment	> Selection and use of contractors	> Information and training
> Alcohol & drugs policy	> Monitoring, auditing & review	> Risk assessment and safe system of work	> Noise and vibration
> Accident/incident reporting and investigation	> Consultation and communication with employees	> Fire and evacuation procedures	> Personal protective equipment

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> Compliance with CDM as a Contractor	> Lifting operations	> Electricity	> Health surveillance
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This is not an exhaustive list.

By law all companies must have a policy for managing health and safety which explains how you, as an employer, will manage health and safety in your business. It should clearly say who does what, when and how. If you have 5 or more persons employed, you are required by law to write your Policy down, and ensure it covers all sections listed on the previous page.

The SSIP requirements are for all companies to be able to demonstrate and provide a clear explanation of the policy and arrangements regardless of size; so if you have less than 5 persons employed we will ask you to have a minimum of a written Policy Statement so you can suitably demonstrate this. A template can be downloaded from the [HSE website](#).

Questions 4, 5 and 6 on this page must be completed with a response but it is only advisory to have these in place, not mandatory, so if they are not in place and you respond 'no' the Auditor will give an 'opportunity for improvement' but will not fail these questions.

Page 3 - Competent Advice: Corporate & Construction Related

All companies are required by law to appoint one or more 'competent persons' to ensure the company meets its corporate health and safety legal duties. A 'competent person' is someone who has the skills, knowledge, experience and training to be able to recognise hazards and help you to put sensible controls in place to protect workers and others from harm.

The competent person could be a Director, another employee, or someone outside of the business. The key consideration must be their competence. Whilst there is no legal requirement for formal qualifications to be held, it is usually very helpful; e.g. NEBOSH General Certificate, NEBOSH Construction Certificate, NVQ level 4 in Occupational H&S, etc and the Auditor will be looking at how they are deemed 'competent'.

By definition, 'Contractors' work in the construction industry therefore the company must ensure that a competent person is appointed who has knowledge of this industry, the hazards and suitable controls associated with the activities undertaken by the company. This can be the same person/people who act as the 'corporate' competent person, or the construction-related competence can come from a different source.

Please note that if you provide details of an external Consultant/Adviser, the Auditor will contact them to verify that they provide services and have been appointed as your Competent Person for health and safety. Any discrepancies will be raised as a query with you.

Page 4 - Training

You need to show that you have, and implement, training arrangements to ensure the people you employ have the skills and understanding necessary to discharge their duties as contractors, and that a programme is in place to provide refresher training where necessary. The persons you employ are expected to have the appropriate qualifications and experience for the assigned tasks (unless they are trainees working under direct competent supervision).

To meet this standard, we ask you to provide a training matrix showing the training held by each person in the company (both direct employees and labour only subcontractors) and its date or expiry date. This is usually provided in the form of a spreadsheet. If the Auditor believes that a certain type of training should be held which is not detailed on the training matrix, they will raise this as a query with you. They will also cross reference the number of individuals listed on the training matrix against the total number of people employed by the company as declared on page 1 and any discrepancies will be queried with you.

We then require evidence for each type of training listed on the training matrix (including that requested by Auditors), for example copies of certificates, cards, delegate attendance lists, etc. The module questionnaire prompts you to provide specific evidence of training, such as supervisory training (SSSTS or equivalent), trade-specific training (e.g. NVQ, City & Guilds), plant/equipment training, in-house training (e.g. tool box talks) and any other evidence for training listed on the training matrix.

Please note that the Auditors will also cross reference the content of the Health and Safety Policy, Risk Assessments and Method Statements you provide to ensure that any control measures which require training are in place. For example, if the use of face

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masks is listed as a control measure but evidence of successful face fit testing is not provided (e.g. certificate or pass report) then this will be queried with you and requested.

Page 5 - Monitoring, Audit & Review

You should have a system for monitoring your procedures, auditing them at periodic intervals, and reviewing them i.e.:

- Reviewing your policies, procedures and any written documentation i.e. Health and Safety Policy, Risk Assessments, etc and updating them where necessary – an audit report, management review meetings, etc would be suitable evidence;
- Monitoring/auditing your site activities to determine compliance with your policies, procedure, written documentation, industry standards and Principal Contractor requirements – a site inspection report is usually provided as evidence for this;
- Ensuring that plant/equipment is safe for use, e.g. PUWER/LOLER inspections, PAT testing records, etc.

You may have assistance from an outside source to do this, such as an external H&S Consultant or auditor, or you may manage this in-house. The evidence must be provided from within the last 12 months and must be completed copies of documents - blank templates are not acceptable. For very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 6 - Workforce Involvement

You should have, and implement, an established means of consulting with your workforce on health and safety matters. Larger companies are expected to have a health and safety committee with nominated representatives, however for very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 7 - Accident/Incident Procedures

You should have in place a system for reviewing all incidents, and recording the action taken as a result, in accordance with [RIDDOR 2013](#). This includes holding records of accidents/incidents for at least the last 3 years, and details of enforcement action taken against the company for the last 5 years e.g. HSE improvement/prohibition notices and prosecutions.

Question 3 on this page asks you to complete figures of accidents/incidents – please note that ‘people employed by the company’ refers to employees and labour only subcontractors. Please ensure you only enter details of accidents/incidents and **not** the numbers of personnel/subcontractors used. If there is nothing to declare, please enter ‘0’ in each box.

Where accidents/incidents have occurred we require details to be provided to briefly explain what happened, the injury/damage and the actions you took to prevent a recurrence. It is important to show that you have taken steps to prevent a similar accident/incident occurring, so this usually involves determining the immediate and root causes then taking appropriate and proportionate steps such as reviewing RAMS, providing additional training or toolbox talks, changing processes or materials, etc.

Where there is no record of any accidents/incidents it could potentially be an indication that the workforce are not aware of the requirement to report all accidents/incidents, or it may be an indication that are not encouraged to do so highlighting a poor H&S culture, so the auditor may query this with you depending on your company size and trade/activities undertaken.

Please note that the Auditor will also verify your response to question 5 against publicly available records on HSE databases. Any inconsistencies between your response and the information provided by the HSE will be queried with you.

Page 8 - Subcontracting/Consulting Procedures

This section only needs to be completed if you have declared the use of bona fide subcontractors in the ‘general information’ section on page 1. If you **only** use direct employees and labour only subcontractors, answer ‘no’ and move on to the next page.

If bona fide subcontractors are used, you are required to have arrangements in place for checking their competence prior to appointing them, ensuring they are suitably experienced and insured, and for monitoring their performance. This involves

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undertaking a competency assessment yourself (similar to the Contractor assessment you have applied to CQMS for) or ensuring they have been assessed by a suitable organisation e.g. SSIP member, in the last 12 months.

CQMS ask for evidence of your assessments from within the last 12 months, such as a copy of the questionnaire completed by the subcontractor and the evidence they supplied, and evidence to show that you have reviewed it and deemed it acceptable. Blank template documents are not accepted.

Please note that the Auditor will cross refer responses to this section with the information detailed in the General Information section on page 1 and the Health and Safety Policy on page 2 and any inconsistencies will be queried with you.

Page 9 - Risk Assessment Leading to a Safe System of Work

You should have procedures in place for carrying out risk assessments and for developing and implementing safe systems of work/method statements. The identification of occupational health issues is expected to feature prominently in this system. We ask you to provide copies of your General, Manual Handling and COSHH risk assessments and safe systems of work/method statements (RAMS).

These must cover all activities undertaken by your direct employees and labour only subcontractors which you have asked us to assess in the 'General Information' section on page 1, have been completed/reviewed within the last 12 months and be site specific. Blank templates are not accepted.

If you employ less than 5 persons and do not have written documentation, you must be able to adequately describe how you identify health and safety hazards and control the risks, and communicate this to your workforce. For high risk trades/activities you may be asked by the Auditor to provide written RAMS.

Please note that the Auditor will cross refer evidence in this section with the information detailed in the General Information and Training sections, and any inconsistencies will be queried with you.

In line with the CDM Regulations 2015, if you are the only Contractor working on a project you will need to produce a Construction Phase Plan. If this applies, select 'yes' and upload suitable evidence. If you always work under a Principal Contractor, please select 'no'.

Page 10 - Cooperating with Others & Coordinating your Work with Other Contractors

You should be able to explain how you ensure cooperation and coordination of your work is achieved with other contractors on site to eliminate, or mitigate, risks to the workforce and third parties.

Evidence is required to show how this takes place, and must be dated within the last 12 months.

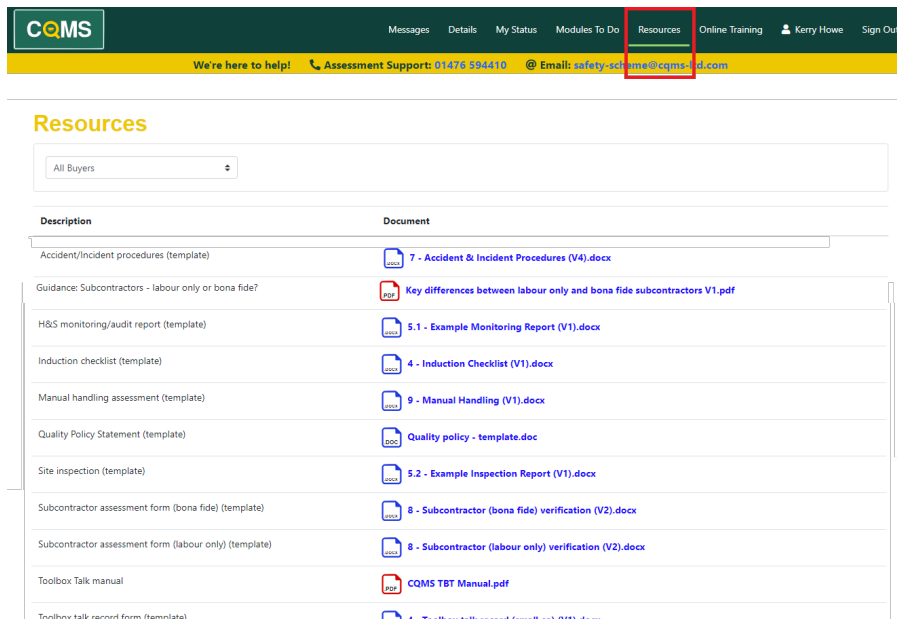
Page 11 - Welfare Provision

You have a legal duty to ensure that persons you employ have access to suitable welfare facilities whilst they are at work. This final section requires you to explain and provide evidence of how you achieve this.












Template Documents:

In addition to the information contained in this guide, CQMS have made available a number of template documents and additional resources which can be used by suppliers to assist them in providing sufficient evidence for the assessment. They can be downloaded, completed with relevant information and then uploaded into the H&S Contractor module.

The template documents can be found in the 'Resources' tab at the top of your supplier profile on the CQMS Portal:



The screenshot shows the CQMS Portal interface. At the top, there is a navigation bar with the CQMS logo and several menu items: Messages, Details, My Status, Modules To Do, Resources (highlighted with a red box), Online Training, Kerry Howe, and Sign Out. Below the navigation bar, there is a yellow banner with the text "We're here to help!" and contact information: "Assessment Support: 01476 594410" and "Email: safety-scheme@cqms-ltd.com". The main content area is titled "Resources" and features a dropdown menu for "All Buyers". Below this is a table with two columns: "Description" and "Document".

Description	Document
Accident/incident procedures (template)	 7 - Accident & Incident Procedures (V4).docx
Guidance: Subcontractors - labour only or bona fide?	 Key differences between labour only and bona fide subcontractors V1.pdf
H&S monitoring/audit report (template)	 5.1 - Example Monitoring Report (V1).docx
Induction checklist (template)	 4 - Induction Checklist (V1).docx
Manual handling assessment (template)	 9 - Manual Handling (V1).docx
Quality Policy Statement (template)	 Quality policy - template.doc
Site inspection (template)	 5.2 - Example Inspection Report (V1).docx
Subcontractor assessment form (bona fide) (template)	 8 - Subcontractor (bona fide) verification (V2).docx
Subcontractor assessment form (labour only) (template)	 8 - Subcontractor (labour only) verification (V2).docx
Toolbox Talk manual	 CQMS TBT Manual.pdf
Toolbox talk record form (template)	 4 - Toolbox Talk Record Form (V1).docx

Validity & Renewal:

The H&S Contractor module is valid as follows:

Route 1 - if CQMS Safety-Scheme have carried out a full assessment then there will be 12 months given from the date the module is signed off by the CQMS Auditor as 'complete'.

Route 2 – if you have used an existing SSIP member assessment through the 'DtS' process, the expiry date on the CQMS H&S module will mirror that given by the originating Registered Member scheme, or using the ISO45001 expiry date given by the Certification Body Member scheme (the 'base date') less 1 or 2 years relative to the base date at the time of DtS application.

This ensures that all suppliers have an annual assessment/surveillance audit [refer to sections 8.4 and 8.5 of the SSIP Rules & Bylaws].

CQMS will issue reminders in advance of expiry to individuals listed as 'contacts' on your supplier profile so the renewal process can be commenced.

Further information:

Please see the CQMS Safety-Scheme Terms & Conditions, available on the CQMS Portal login page or request from CQMS Safety-Scheme. The T&Cs provide further information on the CQMS Safety-Scheme processes, fees, etc.

To find out more about SSIP, their members and an indication of their fees, and the DtS process, please visit their website <https://SSIP.org.uk/>

MODULE GUIDANCE:

H&S DESIGNER

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MODULE GUIDANCE:
H&S PRINCIPAL CONTRACTOR

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Purpose:

CQMS Safety-Scheme assesses a supplier's compliance with the minimum standards detailed in the SSIP Core Criteria for a health and safety assessment and is also compliant with PAS 91. Our assessment procedures adopt control principles based on ISO 17020, which is the standard used by UKAS to approve Inspection Bodies.

The 'H&S Principal Contractor' module is appropriate for companies who meet the definition given in the [CDM Regulations 2015](#) i.e. work in the construction industry on projects with more than one contractor as the 'main contractor' and plan, manage and monitor the construction phase activities and coordinate matters relating to health and safety, including appointing/overseeing other contractors. Guidance on the role of the Principal Contractor is available from the CITB [here](#).

It is to be noted that only activities undertaken by direct employees and labour only subcontractors can be included in the assessment; any works undertaken by subcontract organisations can NOT be included within the trade / activities assessed against [see SSIP Rules & Bylaws section 9.5].

If you think that the Principal Contractor module may not be right for you, please contact CQMS to discuss prior to completing.

This guidance explains the topics covered in the Principal Contractor assessment, the requirements and standards to which we assess in line with the SSIP Core Criteria. Please note that the CQMS Safety-Scheme assessment is a desktop-only assessment, we do not attend site to witness the work you undertake, and as such evidence needs to be uploaded for each section to support your response.

If you are unsure of the requirements or standards, or how they apply to your organisation, after reading the relevant parts of this guidance document please contact CQMS Safety-Scheme and a member of our team will be happy to help. We provide support and guidance to companies undergoing assessment with us free of charge.

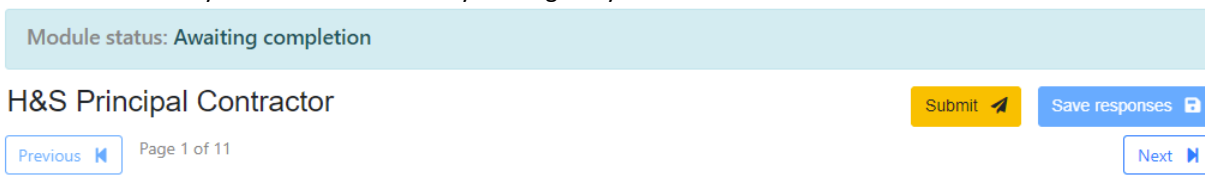
Requirements & Standards:

There are 2 routes to completing the H&S Principal Contractor module:

1 – full assessment through CQMS Safety-Scheme by completing all questions in the module and uploading supporting evidence. Upon successful completion you will receive a certificate valid for 12 months and your company details will be entered onto the SSIP Portal.

2 – 'deemed to satisfy' (DtS) assessment using existing valid H&S assessment completed by another SSIP member scheme (either a 'full member' or a 'certification body member' as listed on the [SSIP website](#)). The corresponding CQMS Safety-Scheme certification you receive will be aligned to the original assessment so will expire at the same time.

You can 'save' the module at any time and return to complete it later. Please note that the module will not be complete or submitted to CQMS until you have submitted it by clicking the yellow 'SUBMIT' button shown below:



Module status: Awaiting completion

H&S Principal Contractor

Submit ↗ Save responses 🗄

Previous ◀ Page 1 of 11 Next ▶

Page 1 - General information

This section is to be completed by all companies, regardless of the route to completing the module.

Trade/activities to be assessed:

This must be fully completed to detail all the activities that is undertaken by your direct employees and labour only subcontractors for which you want to receive certification for, which will appear on your certificate and the SSIP Portal.

If you are applying through route 2 (DtS), CQMS Safety-Scheme will review the detail you provide against the information on the SSIP Portal to ensure that your original assessment covered the same activities. If the original assessment covers fewer, or different, activities to those you detail on the CQMS module we will query this with you prior to accepting the DtS, and you will be asked to either undergo a full assessment with CQMS Safety-Scheme to cover the additional activities, or go back to your original assessment provider to ask them to update the SSIP Portal.

Company size:

You must declare the number of direct employees, labour only subcontractors and bona fide subcontractors this year, and the previous year.

The 'total number of personnel employed by the company' is the total of direct employees and labour only subcontractors (column 1 + column 2), and is the number which is uploaded to the SSIP Portal if CQMS Safety-Scheme undertake a full assessment, or the number which we check against the SSIP Portal if you apply through route 2 for a DtS assessment. If the SSIP Portal shows less than 5 persons employed, but your 'total number of persons employed' on the CQMS module shows 5 or more, we cannot accept the request to DtS and will query this with you.

e.g.:

Please detail the size of your Company over the past two years:

	Number of Direct Employees	Number of Labour Only Subcontractors	Total Number of People Employed by the Company	Number of Bona Fide Subcontractors
This year	3	4	7	5
Last year	2	9	11	5

Type of assessment:

If you are applying through route 1 (full assessment with CQMS Safety-Scheme), please choose the first option. This will open up the remainder of the questions in the module on subsequent pages for full completion.

If you are applying through route 2 (DtS), please choose the second option. You will then enter the details of the original SSIP member scheme who undertook your H&S Principal Contractor assessment, the expiry date of your certification. You can then 'submit' your module to CQMS Safety-Scheme which generates a notification to us to confirm that your module has been completed.

Page 2 - Health and Safety Policy, Organisation for Health and Safety & Arrangements

A written Health and Safety Policy must consist of the following sections:

- **Health and Safety Policy Statement:**
This statement outlines the company's commitment to health and safety and details the aims and objectives of the company.
It is to be signed and dated by a senior person (e.g. Managing Director) within the last 12 months.
- **Organisation/Responsibilities:**
This section should set out the names (or positions) and their health and safety duties of those who have specific responsibilities for health and safety, such as personnel who provide induction training, report and investigate accidents/incidents, have overall responsibility for health and safety, etc. Employees should also have a precise summary of their duties as defined in health and safety legislation.
- **Arrangements:**
The final section of the Policy details the arrangements that have been put into place to meet the aims and objectives listed in the Policy Statement, and detail how risks will be managed and controlled. The Arrangements should be tailored to your company, its activities and risks, but is likely to cover items such as:

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

> Asbestos	> Hazardous substances	> Working at height	> Manual handling
> First aid & welfare facilities	> Work equipment	> Selection and use of contractors	> Information and training
> Alcohol & drugs policy	> Monitoring, auditing & review	> Risk assessment and safe system of work	> Noise and vibration
> Accident/incident reporting and investigation	> Consultation and communication with employees	> Fire and evacuation procedures	> Personal protective equipment
> Compliance with CDM as a Principal Contractor	> Lifting operations	> Electricity	> Health surveillance

This is not an exhaustive list.

By law all companies must have a policy for managing health and safety which explains how you, as an employer, will manage health and safety in your business. It should clearly say who does what, when and how. If you have 5 or more persons employed, you are required by law to write your Policy down, and ensure it covers all sections listed on the previous page.

The SSIP requirements are for all companies to be able to demonstrate and provide a clear explanation of the policy and arrangements regardless of size; so if you have less than 5 persons employed we will ask you to have a minimum of a written Policy Statement so you can suitably demonstrate this. A template can be downloaded from the [HSE website](#).

Questions 4, 5 and 6 on this page must be completed with a response but it is only advisory to have these in place, not mandatory, so if they are not in place and you respond 'no' the Auditor will give an 'opportunity for improvement' but will not fail these questions.

Page 3 - Competent Advice: Corporate & Construction Related

All companies are required by law to appoint one or more 'competent persons' to ensure the company meets its corporate health and safety legal duties. A 'competent person' is someone who has the skills, knowledge, experience and training to be able to recognise hazards and help you to put sensible controls in place to protect workers and others from harm.

The competent person could be a Director, another employee, or someone outside of the business. The key consideration must be their competence. Whilst there is no legal requirement for formal qualifications to be held, it is usually very helpful; e.g. NEBOSH General Certificate, NEBOSH Construction Certificate, NVQ level 4 in Occupational H&S, etc and the Auditor will be looking at how they are deemed 'competent'.

By definition, 'Principal Contractors' work in the construction industry therefore the company must ensure that a competent person is appointed who has knowledge of this industry, the hazards and suitable controls associated with the activities undertaken by the company. This can be the same person/people who act as the 'corporate' competent person, or the construction-related competence can come from a different source.

Please note that if you provide details of an external Consultant/Adviser, the Auditor will contact them to verify that they provide services and have been appointed as your Competent Person for health and safety. Any discrepancies will be raised as a query with you.

Page 4 - Training

You need to show that you have, and implement, training arrangements to ensure the people you employ have the skills and understanding necessary to discharge their duties as contractors, and that a programme is in place to provide refresher training where necessary. The persons you employ are expected to have the appropriate qualifications and experience for the assigned tasks (unless they are trainees working under direct competent supervision).

To meet this standard, we ask you to provide a training matrix showing the training held by each person in the company (both direct employees and labour only subcontractors) and its date or expiry date. This is usually provided in the form of a spreadsheet. If the Auditor believes that a certain type of training should be held which is not detailed on the training matrix,

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they will raise this as a query with you. They will also cross reference the number of individual listed on the training matrix against the total number of people employed by the company as declared on page 1 and any discrepancies will be queried with you.

We then require evidence for each type of training listed on the training matrix (including that requested by Auditors), for example copies of certificates, cards, delegate attendance lists, etc. The module questionnaire prompts you to provide specific evidence of training, such as supervisory training (SSSTS or equivalent), trade-specific training (e.g. NVQ, City & Guilds), plant/equipment training, in-house training (e.g. tool box talks) and any other evidence for training listed on the training matrix. In order to meet the standard for a Principal Contractor, you will need to provide evidence of Site Management training (SMSTS or equivalent).

Please note that the Auditors will also cross reference the content of the Health and Safety Policy, Risk Assessments and Method Statements you provide to ensure that any control measures which require training are in place. For example, if the use of face masks is listed as a control measure but evidence of successful face fit testing is not provided (e.g. certificate or pass report) then this will be queried with you and requested.

Page 5 - Monitoring, Audit & Review

You should have a system for monitoring your procedures, auditing them at periodic intervals, and reviewing them i.e.:

- Reviewing your policies, procedures and any written documentation i.e. Health and Safety Policy, Risk Assessments, etc and updating them where necessary – an audit report, management review meetings, etc would be suitable evidence;
- Monitoring/auditing of site activities to determine compliance with your policies, procedures, Construction Phase Plan, written documentation, industry standards. As a Principal Contractor you are expected to have evidence of monitoring of site activities – a site inspection report is usually provided as evidence for this;
- Ensuring that plant/equipment is safe for use, e.g. PUWER/LOLER inspections, PAT testing records, etc.

You may have assistance from an outside source to do this, such as an external H&S Consultant or auditor, or you may manage this in-house. The evidence must be provided from within the last 12 months and must be completed copies of documents - blank templates are not acceptable.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 6 - Workforce Involvement

You should have, and implement, an established means of consulting with your workforce on health and safety matters. Larger companies are expected to have a health and safety committee with nominated representatives.

As a Principal Contractor you are expected to have a system in place for communicating with the workforce on site, which comprises personnel directly employed by your company (employees and labour only subcontractors) and also those to whom you subcontract works (bona fide subcontractors).

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 7 - Accident/Incident Procedures

You should have in place a system for reviewing all incidents, and recording the action taken as a result, in accordance with [RIDDOR 2013](#). This includes holding records of accidents/incidents for at least the last 3 years, and details of enforcement action taken against the company for the last 5 years e.g. HSE improvement/prohibition notices and prosecutions.

Question 3 asks you to complete figures of accidents/incidents – please note that ‘people employed by the company’ refers to employees and labour only subcontractors. Please ensure you only enter details of accidents/incidents and **not** the numbers of personnel/subcontractors used. If there is nothing to declare, please enter ‘0’ in each box.

Where accidents/incidents have occurred we require details to be provided to briefly explain what happened, the injury/damage and the actions you took to prevent a recurrence. It is important to show that you have taken steps to prevent a similar

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accident/incident occurring, so this usually involves determining the immediate and root causes then taking appropriate and proportionate steps such as reviewing RAMS, providing additional training or toolbox talks, changing processes or materials, etc.

Where there is no record of any accidents/incidents it could potentially be an indication that the workforce are not aware of the requirement to report all accidents/incidents, or it may be an indication that are not encouraged to do so highlighting a poor H&S culture, so the auditor may query this with you depending on your company size and trade/activities undertaken.

Please note that the Auditor will also verify your response to question 5 against publicly available records on HSE databases. Any inconsistencies between your response and the information provided by the HSE will be queried with you.

Page 8 - Subcontracting/Consulting Procedures

As a Principal Contractor you will be the 'main contractor' working on sites where there is more than one contractor. As such, all contractors working under your control must be verified to ensure they are competent and able to undertake the works they are appointed to complete.

You are required to have arrangements in place for checking their competence prior to appointing them, ensuring they are suitably experienced and insured, and for monitoring their performance. This involves undertaking a competency assessment yourself (similar to the assessment you have applied to CQMS for), or ensuring they have been assessed by a suitable organisation e.g. SSIP member, in the last 12 months.

CQMS ask for evidence of your assessments from within the last 12 months, such as a copy of the questionnaire completed by the subcontractor and the evidence they supplied, and evidence to show that you have reviewed it and deemed it acceptable. Blank template documents are not accepted.

Please note that the Auditor will cross refer responses to this section with the information detailed in the General Information section on page 1 and the Health and Safety Policy on page 2 and any inconsistencies will be queried with you.

Page 9 - Risk Assessment Leading to a Safe System of Work & Principal Contractor duties

As a Principal Contractor you must produce Construction Phase Plans for projects to detail how health and safety will be managed during the construction phase of a project. Evidence is required to show that you have completed/updated a suitable and sufficient site specific Construction Phase Plan within the last 12 months. See [Appendix 3 of HSE Guidance L153](#).

You should have procedures in place for carrying out risk assessments and for developing and implementing safe systems of work/method statements. The identification of occupational health issues is expected to feature prominently in this system. We ask you to provide copies of your General, Manual Handling and COSHH risk assessments and safe systems of work/method statements (RAMS).

These must cover all activities you have asked us to assess in the 'General Information' section on page 1 (undertaken by direct employees and labour only subcontractors), have been completed/reviewed within the last 12 months and be site specific. Blank templates are not accepted.

If you employ less than 5 persons and do not have written documentation, you must be able to adequately describe how you identify health and safety hazards and control the risks, and communicate this to your workforce. For high risk trades/activities you may be asked by the Auditor to provide written RAMS.

Please note that the Auditor will cross refer evidence in this section with the information detailed in the General Information and Training sections, and any inconsistencies will be queried with you.

Questions 3-7 require you to provide evidence to show the discharge of legal duties when acting as Principal Contractor. They are not new legal duties, but were specifically added to the SSIP Core Criteria in version 8.19 to ensure all SSIP member schemes are reviewing evidence in a consistent manner.

You are required to provide evidence to show that, when acting as Principal Contractor, you:

- Provide suitable site inductions for workers and visitors
Evidence could include previous site inductions and attendance records
- Provide information to the Principal Designer for inclusion in the H&S File
Evidence could include examples of previously prepared information
- Have arrangements in place to ensure that building fire safety information is handed over to the Responsible Person(s) no later than the date of completion of the work, or the date of occupation of the building, whichever is earliest
Evidence must show that there are arrangements for handing over fire safety information
- Create a site specific emergency plan prior to commencement of the works
Evidence could include a Construction Phase Plan which includes the site specific emergency plan, or a standalone copy of a previous site specific emergency plan which includes hazard identification and emergency procedures
- Have arrangements in place to ensure that the Client is aware of their duties under the CDM Regulations 2015 before commencing work
Evidence is required to show that you have arrangements in place for ensuring Clients are aware of their duties under the CDM Regulations 2015 before you start work on a project, for example a letter you have sent to a Client outlining their duties, or a copy of an F10 for the project where the Client has confirmed awareness of their duties.

Page 10 - Cooperating with Others & Coordinating your Work with Other Contractors

You should be able to explain how you ensure cooperation and coordination of your work is achieved with other contractors on site to eliminate, or mitigate, risks to the workforce and third parties.

As a Principal Contractor this is a key duty within the CDM Regulations 2015 that you need to discharge and evidence is required to show how this takes place, which must be dated within the last 12 months.

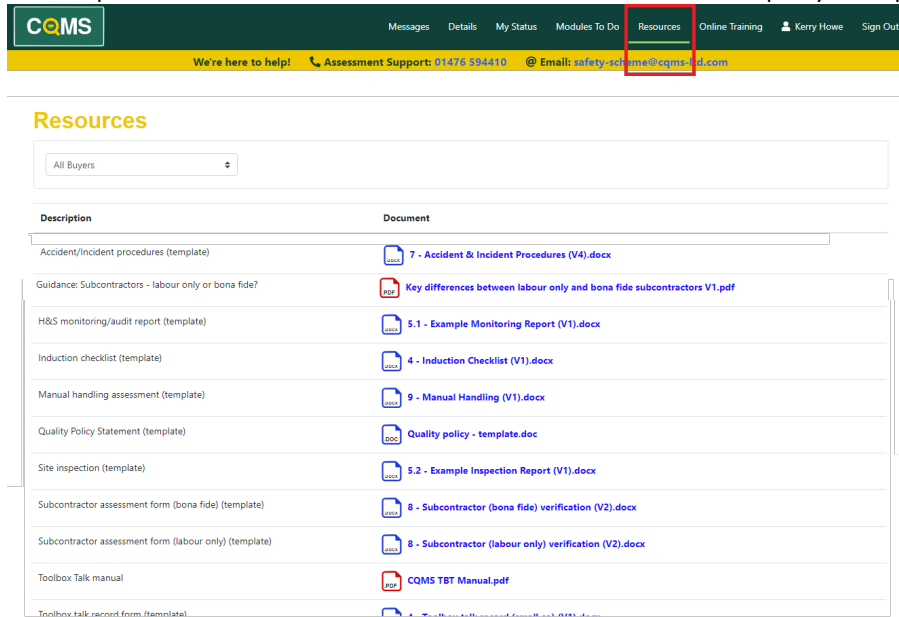
Page 11 - Welfare Provision

You have a legal duty as Principal Contractor to ensure that welfare facilities are provided throughout the construction phase which comply with [Schedule 2 of the CDM Regulations 2015](#). The final question requires you to state how this is achieved, and provide evidence such as a contract with a welfare provider, photographs of welfare provision on a previous/current site, etc.

Template Documents:

In addition to the information contained in this guide, CQMS have made available a number of template documents and additional resources which can be used by suppliers to assist them in providing sufficient evidence for the assessment. They can be downloaded, completed with relevant information and then uploaded into the H&S Contractor module.

The template documents can be found in the ‘Resources’ tab at the top of your supplier profile on the CQMS Portal:



Validity & Renewal:

The H&S Principal Contractor module is valid as follows:

Route 1 - if CQMS Safety-Scheme have carried out a full assessment then there will be 12 months given from the date the module is signed off by the CQMS Auditor as ‘complete’.

Route 2 – if you have used an existing SSIP member assessment through the ‘DtS’ process, the expiry date on the CQMS H&S module will mirror that given by the originating Registered Member scheme, or using the ISO45001 expiry date given by the Certification Body Member scheme (the ‘base date’) less 1 or 2 years relative to the base date at the time of DtS application.

This ensures that all suppliers have an annual assessment/surveillance audit [refer to sections 8.4 and 8.5 of the SSIP Rules & Bylaws].

CQMS will issue reminders in advance of expiry to individuals listed as ‘contacts’ on your supplier profile so the renewal process can be commenced.

Further information:

Please see the CQMS Safety-Scheme Terms & Conditions, available on the CQMS Portal login page or request from CQMS Safety-Scheme. The T&Cs provide further information on the CQMS Safety-Scheme processes, fees, etc.

To find out more about SSIP, their members and an indication of their fees, and the DtS process, please visit their website <https://SSIP.org.uk/>

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

Purpose:

CQMS Safety-Scheme assesses a supplier's compliance with the minimum standards detailed in the SSIP Core Criteria for a health and safety assessment and is also compliant with PAS 91. Our assessment procedures adopt control principles based on ISO 17020, which is the standard used by UKAS to approve Inspection Bodies.

The 'H&S Designer' module is appropriate for companies who meet the definition given in the [CDM Regulations 2015](#) i.e. a person or business who prepares or modifies a design. 'Designs' include drawings, design details, specifications and bills of quantities (including specification of articles or substances) relating to a structure, and calculations prepared for the purpose of a design. Guidance on the role of the Designer is available from the CITB [here](#).

It is to be noted that only activities undertaken by direct employees and labour only subcontractors/subconsultants can be included in the assessment; any works undertaken by subcontract organisations can NOT be included within the trade / activities assessed against [see SSIP Rules & Bylaws section 9.5].

If you think that the Designer module may not be right for you, please contact CQMS to discuss prior to completing.

This guidance explains the topics covered in the Designer assessment, the requirements and standards to which we assess in line with the SSIP Core Criteria. Please note that the CQMS Safety-Scheme assessment is a desktop-only assessment, we do not witness the work you undertake, and as such evidence needs to be uploaded for each section to support your response.

If you are unsure of the requirements or standards, or how they apply to your organisation, after reading the relevant parts of this guidance document please contact CQMS Safety-Scheme and a member of our team will be happy to help. We provide support and guidance to companies undergoing assessment with us free of charge.

Requirements & Standards:

There are 2 routes to completing the H&S Designer module:

1 – full assessment through CQMS Safety-Scheme by completing all questions in the module and uploading supporting evidence. Upon successful completion you will receive a certificate valid for 12 months and your company details will be entered onto the SSIP Portal.

2 – 'deemed to satisfy' (DtS) assessment using existing valid H&S assessment completed by another SSIP member scheme (either a 'full member' or a 'certification body member' as listed on the [SSIP website](#)). The corresponding CQMS Safety-Scheme certification you receive will be aligned to the original assessment so will expire at the same time.

You can 'save' the module at any time and return to complete it later. Please note that the module will not be complete or submitted to CQMS until you have submitted it by clicking the yellow 'SUBMIT' button shown below:

Module status: Awaiting completion

H&S Designers

Submit ↗

Save responses 📄

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Page 1 - General information

This section is to be completed by all companies, regardless of the route to completing the module.

Trade/activities to be assessed:

This must be fully completed to detail all the activities that your company undertakes which you want to receive certification for, which will appear on your certificate and the SSIP Portal.

If you are applying through route 2 (DtS), CQMS Safety-Scheme will review the detail you provide against the information on the SSIP Portal to ensure that your original assessment covered the same activities. If the original assessment covers fewer, or different, activities to those you detail on the CQMS module we will query this with you prior to accepting the DtS, and you will be asked to either undergo a full assessment with CQMS Safety-Scheme to cover the additional activities, or go back to your original assessment provider to ask them to update the SSIP Portal.

Company size:

You must declare the number of direct employees, labour only subcontractors and bona fide subcontractors/subconsultants this year, and the previous year.

The 'total number of personnel employed by the company' is the total of direct employees and labour only subcontractors (column 1 + column 2), and is the number which is uploaded to the SSIP Portal if CQMS Safety-Scheme undertake a full assessment, or the number which we check against the SSIP Portal if you apply through route 2 for a DtS assessment. If the SSIP Portal shows less than 5 persons employed, but your 'total number of persons employed' on the CQMS module shows 5 or more, we cannot accept the request to DtS and will query this with you.

e.g.:

Please detail the size of your Company over the past two years:

	Number of Direct Employees	Number of Labour Only Subcontractors	Total Number of People Employed by the Company	Number of Bona Fide Subcontractors
This year	3	4	7	5
Last year	2	9	11	5

Type of assessment:

If you are applying through route 1 (full assessment with CQMS Safety-Scheme), please choose the first option. This will open up the remainder of the questions in the module on subsequent pages for full completion.

If you are applying through route 2 (DtS), please choose the second option. You will then enter the details of the original SSIP member scheme who undertook your H&S Designer assessment, the expiry date of your certification. You can then 'submit' your module to CQMS Safety-Scheme which generates a notification to us to confirm that your module has been completed.

Page 2 - Health and Safety Policy, Organisation for Health and Safety & Arrangements

A written Health and Safety Policy must consist of the following sections:

- **Health and Safety Policy Statement:**
This statement outlines the company's commitment to health and safety and details the aims and objectives of the company.
It is to be signed and dated by a senior person (e.g. Managing Director) within the last 12 months.
- **Organisation/Responsibilities:**
This section should set out the names (or positions) and their health and safety duties of those who have specific responsibilities for health and safety, such as personnel who provide induction training, report and investigate accidents/incidents, have overall responsibility for health and safety, etc. Employees should also have a precise summary of their duties as defined in health and safety legislation.
- **Arrangements:**
The final section of the Policy details the arrangements that have been put into place to meet the aims and objectives listed in the Policy Statement, and detail how risks will be managed and controlled. The Arrangements should be tailored to your company, its activities and risks, but is likely to cover items such as:

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

> Display screen equipment	> Hazardous substances	> Information and training	> Manual handling
> First aid	> Work equipment	> Use of contractors / consultants	> Welfare facilities
> Alcohol & drugs policy	> Monitoring procedures	> Risk assessment and safe system of work	> Compliance with CDM duties as a Designer
> Accident/incident reporting and investigation	> Consultation and communication with employees	> Fire and evacuation procedures	> Personal protective equipment

This is not an exhaustive list.

By law all companies must have a policy for managing health and safety which explains how you, as an employer, will manage health and safety in your business. It should clearly say who does what, when and how. If you have 5 or more persons employed, you are required by law to write your Policy down, and ensure it covers all sections listed on the previous page.

The SSIP requirements are for all companies to be able to demonstrate and provide a clear explanation of the policy and arrangements regardless of size; so if you have less than 5 persons employed we will ask you to have a minimum of a written Policy Statement so you can suitably demonstrate this. A template can be downloaded from the [HSE website](#).

Questions 4, 5 and 6 on this page must be completed with a response but it is only advisory to have these in place, not mandatory, so if they are not in place and you respond 'no' the Auditor will give an 'opportunity for improvement' but will not fail these questions.

Page 3 - Competent Advice: Corporate & Construction Related

All companies are required by law to appoint one or more 'competent persons' to ensure the company meets its corporate health and safety legal duties. A 'competent person' is someone who has the skills, knowledge, experience and training to be able to recognise hazards and help you to put sensible controls in place to protect workers and others from harm.

The competent person could be a Director, another employee, or someone outside of the business. The key consideration must be their competence. Whilst there is no legal requirement for formal qualifications to be held, it is usually very helpful; e.g. NEBOSH General Certificate, NEBOSH Construction Certificate, NVQ level 4 in Occupational H&S, etc and the Auditor will be looking at how they are deemed 'competent'.

By definition, 'Designers' have duties under the CDM Regulations therefore the company must ensure that a competent person is appointed who has knowledge of these requirements and how to comply with them. This can be the same person/people who act as the 'corporate' competent person, or the CDM-related competence can come from a different source.

Please note that if you provide details of an external Consultant/Adviser, the Auditor will contact them to verify that they provide services and have been appointed as your Competent Person for health and safety. Any discrepancies will be raised as a query with you.

Page 4 - Training

You need to show that you have, and implement, training arrangements to ensure the people you employ have the skills and understanding necessary to discharge their duties as Designers, and that a programme is in place to provide refresher training where necessary. The persons you employ are expected to have the appropriate qualifications and experience for the assigned tasks (unless they are trainees working under direct competent supervision).

To meet this standard, we ask you to provide a training matrix showing the training held by each person in the company (both direct employees and labour only subcontractors) and its date or expiry date. This is usually provided in the form of a spreadsheet. If the Auditor believes that a certain type of training should be held which is not detailed on the training matrix, they will raise this as a query with you. They will also cross reference the number of individual listed on the training matrix against the total number of people employed by the company as declared on page 1 and any discrepancies will be queried with you.

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

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We then require evidence for each type of training listed on the training matrix (including that requested by Auditors), for example copies of certificates, cards, delegate attendance lists, etc. The module questionnaire prompts you to provide specific evidence of training, such as professional qualifications (e.g. BSc, MSc, etc), professional memberships (e.g. RIBA, ARB, CIBSE, ICE, ISE, LI, etc), Continued Professional Development (CPD), CDM Awareness training, in-house training, and any other evidence for training listed on the training matrix.

Please note that the Auditors also cross reference the content of the Health and Safety Policy, Risk Assessments etc you provide to ensure that any control measures which require training are in place.

Page 5 - Monitoring, Audit & Review

You should have a system for monitoring your procedures, auditing them at periodic intervals, and reviewing them i.e.:

- Reviewing your policies, procedures and any written documentation i.e. Health and Safety Policy, Risk Assessments, etc and updating them where necessary – an audit report, management review meetings, etc would be suitable evidence;
- Monitoring/auditing your site activities to determine compliance with your policies, procedure, written documentation, industry standards and Principal Contractor requirements – if you do not undertake any works on site please answer 'N/A' to this question.
- Ensuring that plant/equipment is safe for use, e.g. DSE assessments, PAT testing records, etc.

You may have assistance from an outside source to do this, such as an external H&S Consultant or auditor, or you may manage this in-house. The evidence must be provided from within the last 12 months and must be completed copies of documents - blank templates are not acceptable. For very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 6 - Workforce Involvement

You should have, and implement, an established means of consulting with your workforce on health and safety matters. Larger companies are expected to have a health and safety committee with nominated representatives, however for very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 7 - Accident/Incident Procedures

You should have in place a system for reviewing all incidents, and recording the action taken as a result, in accordance with [RIDDOR 2013](#). This includes holding records of accidents/incidents for at least the last 3 years, and details of enforcement action taken against the company for the last 5 years e.g. HSE improvement/prohibition notices and prosecutions.

Question 3 on this page asks you to complete figures of accidents/incidents – please note that 'people employed by the company' refers to employees and labour only subcontractors. Please ensure you only enter details of accidents/incidents and **not** the numbers of personnel/subcontractors used. If there is nothing to declare, please enter '0' in each box.

Where accidents/incidents have occurred we require details to be provided to briefly explain what happened, the injury/damage and the actions you took to prevent a recurrence. It is important to show that you have taken steps to prevent a similar accident/incident occurring, so this usually involves determining the immediate and root causes then taking appropriate and proportionate steps such as providing additional training, changing processes or materials, etc.

Please note that the Auditor will also verify your response to question 5 against publicly available records on HSE databases. Any inconsistencies between your response and the information provided by the HSE will be queried with you.

Page 8 - Subcontracting/Consulting Procedures

This section only needs to be completed if you have declared the use of bona fide subcontractors/subconsultants in the 'general information' section on page 1. If you **only** use direct employees and labour only subcontractors/subconsultants, answer 'no' and move on to the next page.

If bona fide subcontractors/subconsultants are used, you are required to have arrangements in place for checking their competence prior to appointing them, ensuring they are suitably experienced and insured, and for monitoring their performance. This involves undertaking a competency assessment yourself (similar to the Designer assessment you have applied to CQMS for), or ensuring they have been assessed by a suitable organisation e.g. SSIP member, in the last 12 months.

CQMS ask for evidence of your assessments from within the last 12 months, such as a copy of the questionnaire completed by the bona fide subcontractor/subconsultant and the evidence they supplied, and evidence to show that you have reviewed it and deemed it acceptable. Blank template documents are not accepted.

Please note that the Auditor will cross refer responses to this section with the information detailed in the General Information section on page 1 and the Health and Safety Policy on page 2 and any inconsistencies will be queried with you.

Page 9 - Risk Assessment Leading to a Safe System of Work

You should have procedures in place for carrying out risk assessments and for developing and implementing safe systems of work. The identification of occupational health issues is expected to feature prominently in this system. We ask you to provide copies of your General, Manual Handling, COSHH and Display Screen Equipment assessments.

These must cover all activities you have asked us to assess in the 'General Information' section on page 1 including where relevant visits to construction sites, client premises, etc and have been completed/reviewed within the last 12 months. Blank templates are not accepted.

Please note this section is **not** requesting copies of 'design risk assessments' which you have completed as part of your duties under the CDM Regulations to detail residual risks as a result of your design activities. It is designed to show your implementation of your duties under the Management of Health and Safety at Work Regulations 1999, Manual Handling Operations Regulations 1992, Control of Substances Hazardous to Health Regulations 2002 and Health and Safety (Display Screen Equipment) Regulations 2002 to identify and adequately control risks to your employees at work.

If you employ less than 5 persons and do not have written documentation, you must be able to adequately describe how you identify health and safety hazards and control the risks, and communicate this to your workforce. For high risk trades/activities you may be asked by the Auditor to provide written documentation.

Please note that the Auditor will cross refer evidence in this section with the information detailed in the General Information and Training sections, and any inconsistencies will be queried with you.

Page 10 - Cooperating with Others & Coordinating your Work with Other Contractors

You should be able to explain how you ensure cooperation and coordination of your work is in practice to eliminate, or mitigate, risks to the workforce and third parties.

Page 11 - Welfare Provision

You have a legal duty to ensure that persons you employ have access to suitable welfare facilities whilst they are at work.

This section requires you to explain and provide evidence of how you achieve this.

Page 12 – Hazard Elimination & Risk Control

This final section focusses specifically on duties under the CDM Regulations 2015. It is essential that all evidence provided is dated within the last 12 months and relates to real projects - blank / template / example documents will not be accepted as they do not show that you have complied with your duties.

Question 1 looks at how you ensure the Client is aware of their duties under the Regulations, with appropriate evidence to support your answer. Designers are often appointed before Principal Designers, particularly in the very early stages of a project before the Client can decide whether or not to go ahead with the works. Designers are the Client's first point of contact, therefore should ensure that the Client is aware of the CDM Regulations 2015 and the duties this places on the Client. We ask for evidence, dated within the last 12 months, to show that you have done this.

Question 2 focusses on cooperation and communication between main parties involved in a project which is a key requirements in the CDM Regulations 2015. You will need to explain how you ensure that you share health and safety information with other dutyholders, ensure your designs are compatible, etc and provide evidence dated within the last 12 months.

Question 3 relates to the [Workplace \(Health, Safety & Welfare\) Regulations](#); if you are responsible for designing buildings, or areas of buildings, which will be used as workplaces once complete they need to comply with the Workplace (Health, Safety and Welfare) Regulations. This ensures that those eventually using the building can comply with their duties as an employer under these Regulations which require them to provide adequate ventilation, reasonable working temperatures, sufficient lighting (preferably natural), adequate working space, suitable and sufficient sanitary conveniences and washing facilities at readily accessible places, the ability to clean windows and skylights safely, etc.

Question 4 asks how you eliminate, or reduce, risks through your design process which is one of the most important duties placed on a Designer by the CDM Regulations 2015. You are expected to show how you implement the General Principles of Prevention (see [Appendix 1 of the CDM Guidance document L153](#)), with evidence dated within the last 12 months. This could be evidenced by design risk registers showing that you identified a hazard and then subsequently amended your design to eliminate it, or if it could not be eliminated then reduced so it poses a lower risk.

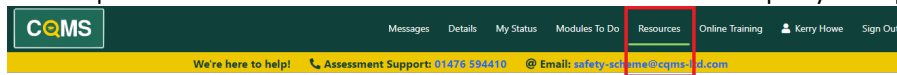
Question 5 then seeks to determine how you communicate the remaining hazards associated with your design to other dutyholders who are using or implementing the design such as the Principal Designer, other Designers, the Principal Contractor, Contractors, etc. You may do this in a variety of ways including highlighting hazards on your drawings and maintaining a drawing distribution list, issuing up to date risk registers with your drawings, detailed in emails, etc. Evidence must be supplied dated within the last 12 months.

Question 6 is the final question in this module. It requires you to detail the evidence that you typically provide to the Principal Designer for inclusion in the Health and Safety File, with relevant evidence to support your response. The Health and Safety File is the document which is handed to the Client upon completion of the project as a record of what has been built and the health and safety requirements for using, cleaning, maintaining and eventually demolishing the structure. The information you provide must be specific to your design for the project, e.g. 'as built' drawings, details of residual risks.

Template Documents:

In addition to the information contained in this guide, CQMS have made available a number of template documents and additional resources which can be used by suppliers to assist them in providing sufficient evidence for the assessment. They can be downloaded, completed with relevant information and then uploaded into the H&S Designer module.

The template documents can be found in the 'Resources' tab at the top of your supplier profile on the CQMS Portal:



Resources

All Buyers

Description	Document
Accident/incident procedures (template)	7 - Accident & Incident Procedures (V4).docx
Guidance: Subcontractors - labour only or bona fide?	Key differences between labour only and bona fide subcontractors V1.pdf
H&S monitoring/audit report (template)	5.1 - Example Monitoring Report (V1).docx
Induction checklist (template)	4 - Induction Checklist (V1).docx
Manual handling assessment (template)	9 - Manual Handling (V1).docx
Quality Policy Statement (template)	Quality policy - template.doc
Site inspection (template)	5.2 - Example Inspection Report (V1).docx
Subcontractor assessment form (bona fide) (template)	8 - Subcontractor (bona fide) verification (V2).docx
Subcontractor assessment form (labour only) (template)	8 - Subcontractor (labour only) verification (V2).docx
Toolbox Talk manual	CQMS TBT Manual.pdf
Toolbox talk record form (template)	4 - Toolbox Talk Record Form (V2).docx

Validity & Renewal:

The H&S Designer module is valid as follows:

Route 1 - if CQMS Safety-Scheme have carried out a full assessment then there will be 12 months given from the date the module is signed off by the CQMS Auditor as 'complete'.

Route 2 – if you have used an existing SSIP member assessment through the 'DtS' process, the expiry date on the CQMS H&S module will mirror that given by the originating Registered Member scheme, or using the ISO45001 expiry date given by the Certification Body Member scheme (the 'base date') less 1 or 2 years relative to the base date at the time of DtS application.

This ensures that all suppliers have an annual assessment/surveillance audit [refer to sections 8.4 and 8.5 of the SSIP Rules & Bylaws].

CQMS will issue reminders in advance of expiry to individuals listed as 'contacts' on your supplier profile so the renewal process can be commenced.

Further information:

Please see the CQMS Safety-Scheme Terms & Conditions, available on the CQMS Portal login page or request from CQMS Safety-Scheme. The T&Cs provide further information on the CQMS Safety-Scheme processes, fees, etc.

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MODULE GUIDANCE:
H&S PRINCIPAL DESIGNER

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Purpose:

CQMS Safety-Scheme assesses a supplier's compliance with the minimum standards detailed in the SSIP Core Criteria for a health and safety assessment and is also compliant with PAS 91. Our assessment procedures adopt control principles based on ISO 17020, which is the standard used by UKAS to approve Inspection Bodies.

The 'H&S Principal Designer' module is appropriate for companies who meet the definition given in the [CDM Regulations 2015](#) i.e. a Designer with control over the pre-construction phase of a project which involves more than one contractor, who has responsibility for planning, managing, monitoring and coordinating health and safety in the pre-construction phase of a project. Guidance on the role of the Principal Designer is available from the CITB [here](#).

If you think that the Principal Designer module may not be right for you, please contact CQMS to discuss prior to completing.

This guidance explains the topics covered in the Principal Designer assessment, the requirements and standards to which we assess in line with the SSIP Core Criteria. Please note that the CQMS Safety-Scheme assessment is a desktop-only assessment, we do not witness the work you undertake, and as such evidence needs to be uploaded for each section to support your response.

If you are unsure of the requirements or standards, or how they apply to your organisation, after reading the relevant parts of this guidance document please contact CQMS Safety-Scheme and a member of our team will be happy to help. We provide support and guidance to companies undergoing assessment with us free of charge.

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There are 2 routes to completing the H&S Principal Designer module:


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You can 'save' the module at any time and return to complete it later. Please note that the module will not be complete or submitted to CQMS until you have submitted it by clicking the yellow 'SUBMIT' button shown below:

Module status: Awaiting completion


H&S Principal Designer

Submit 

Save responses 

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Page 1 - General information

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Company size:

You must declare the number of direct employees, labour only subcontractors and bona fide subcontractors/subconsultants this year, and the previous year.

The 'total number of personnel employed by the company' is the total of direct employees and labour only subcontractors/subconsultants (column 1 + column 2), and is the number which is uploaded to the SSIP Portal if CQMS Safety-Scheme undertake a full assessment, or the number which we check against the SSIP Portal if you apply through route 2 for a DtS assessment. If the SSIP Portal shows less than 5 persons employed, but your 'total number of persons employed' on the CQMS module shows 5 or more, we cannot accept the request to DtS and will query this with you.

e.g.:

Please detail the size of your Company over the past two years:

	Number of Direct Employees	Number of Labour Only Subcontractors	Total Number of People Employed by the Company	Number of Bona Fide Subcontractors
This year	3	4	7	5
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If you are applying through route 2 (DtS), please choose the second option. You will then enter the details of the original SSIP member scheme who undertook your H&S Principal Designer assessment, the expiry date of your certification. You can then 'submit' your module to CQMS Safety-Scheme which generates a notification to us to confirm that your module has been completed.

Page 2 - Health and Safety Policy, Organisation for Health and Safety & Arrangements

A written Health and Safety Policy must consist of the following sections:

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This section should set out the names (or positions) and their health and safety duties of those who have specific responsibilities for health and safety, such as personnel who provide induction training, report and investigate accidents/incidents, have overall responsibility for health and safety, etc. Employees should also have a precise summary of their duties as defined in health and safety legislation.
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The final section of the Policy details the arrangements that have been put into place to meet the aims and objectives listed in the Policy Statement, and detail how risks will be managed and controlled. The Arrangements should be tailored to your company, its activities and risks, but is likely to cover items such as:

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> Display screen equipment	> Hazardous substances	> Information and training	> Manual handling
> First aid	> Work equipment	> Use of contractors / consultants	> Welfare facilities
> Alcohol & drugs policy	> Monitoring procedures	> Risk assessment and safe system of work	> Compliance with CDM duties as a Designer and Principal Designer
> Accident/incident reporting and investigation	> Consultation and communication with employees	> Fire and evacuation procedures	> Personal protective equipment

This is not an exhaustive list.

By law all companies must have a policy for managing health and safety which explains how you, as an employer, will manage health and safety in your business. It should clearly say who does what, when and how. If you have 5 or more persons employed, you are required by law to write your Policy down, and ensure it covers all sections listed on the previous page.

The SSIP requirements are for all companies to be able to demonstrate and provide a clear explanation of the policy and arrangements regardless of size; so if you have less than 5 persons employed we will ask you to have a minimum of a written Policy Statement so you can suitably demonstrate this. A template can be downloaded from the [HSE website](#).

Questions 4, 5 and 6 on this page must be completed with a response but it is only advisory to have these in place, not mandatory, so if they are not in place and you respond 'no' the Auditor will give an 'opportunity for improvement' but will not fail these questions.

Page 3 - Competent Advice: Corporate & Construction Related

All companies are required by law to appoint one or more 'competent persons' to ensure the company meets its corporate health and safety legal duties. A 'competent person' is someone who has the skills, knowledge, experience and training to be able to recognise hazards and help you to put sensible controls in place to protect workers and others from harm.

The competent person could be a Director, another employee, or someone outside of the business. The key consideration must be their competence. Whilst there is no legal requirement for formal qualifications to be held, it is usually very helpful; e.g. NEBOSH General Certificate, NEBOSH Construction Certificate, NVQ level 4 in Occupational H&S, etc and the Auditor will be looking at how they are deemed 'competent'.

By definition, 'Designers' and 'Principal Designers' have duties under the CDM Regulations therefore the company must ensure that a competent person is appointed who has knowledge of these requirements and how to comply with them. This can be the same person/people who act as the 'corporate' competent person, or the CDM-related competence can come from a difference source.

Please note that if you provide details of an external Consultant/Adviser, the Auditor will contact them to verify that they provide services and have been appointed as your Competent Person for health and safety. Any discrepancies will be raised as a query with you.

Page 4 - Training

You need to show that you have, and implement, training arrangements to ensure the people you employ have the skills and understanding necessary to discharge their duties as Designers, and that a programme is in place to provide refresher training where necessary. The persons you employ are expected to have the appropriate qualifications and experience for the assigned tasks (unless they are trainees working under direct competent supervision).

The Principal Designer must have the technical knowledge of the construction industry relevant to the project, and the skills, knowledge and experience to understand, manage and coordinate the pre-construction phase including any design work carried out after construction begins. All Principal Designers must hold a relevant Design qualification plus supporting health and safety qualification (e.g. NEBOSH Construction, NVQ in Occupational Health & Safety, etc).

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

If you have any questions please call on 01476 594410 or email us at safety-scheme@cqms-ltd.com

To meet the standard, we ask you to provide a training matrix showing the training held by each person in the company (both direct employees and labour only subcontractors/subconsultants) and its date or expiry date. This is usually provided in the form of a spreadsheet. If the Auditor believes that a certain type of training should be held which is not detailed on the training matrix, they will raise this as a query with you. They will also cross reference the number of individuals listed on the training matrix against the total number of people employed by the company as declared on page 1 and any discrepancies will be queried with you.

We then require evidence for each type of training listed on the training matrix (including that requested by Auditors), for example copies of certificates, cards, delegate attendance lists, etc. The module questionnaire prompts you to provide specific evidence of training, such as health & safety qualifications, professional qualifications (e.g. BSc, MSc, etc), professional memberships (e.g. RIBA, ARB, CIBSE, ICE, ISE, LI, etc), Continued Professional Development (CPD), CDM Awareness training including Principal Designer training, in-house training, and any other evidence for training listed on the training matrix.

Please note that the Auditors also cross reference the content of the Health and Safety Policy, Risk Assessments and Method Statements you provide to ensure that any control measures which require training are in place.

Page 5 - Monitoring, Audit & Review

You should have a system for monitoring your procedures, auditing them at periodic intervals, and reviewing them i.e.:

- Reviewing your policies, procedures and any written documentation i.e. Health and Safety Policy, Risk Assessments, etc and updating them where necessary – an audit report, management review meetings, etc would be suitable evidence;
- Monitoring/auditing your site activities to determine compliance with your policies, procedure, written documentation, industry standards and Principal Contractor requirements – if you do not undertake any works on site please answer 'N/A' to this question.
- Ensuring that plant/equipment is safe for use, e.g. DSE assessments, PAT testing records, etc.

You may have assistance from an outside source to do this, such as an external H&S Consultant or auditor, or you may manage this in-house. The evidence must be provided from within the last 12 months and must be completed copies of documents - blank templates are not acceptable. For very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 6 - Workforce Involvement

You should have, and implement, an established means of consulting with your workforce on health and safety matters. Larger companies are expected to have a health and safety committee with nominated representatives, however for very small companies it may not be necessary to have written records; please contact a CQMS Auditor if you wish to discuss.

Please note that the Auditor will cross refer responses to this section with the information detailed in the Health and Safety Policy and any inconsistencies will be queried with you.

Page 7 - Accident/Incident Procedures

You should have in place a system for reviewing all incidents, and recording the action taken as a result, in accordance with [RIDDOR 2013](#). This includes holding records of accidents/incidents for at least the last 3 years, and details of enforcement action taken against the company for the last 5 years e.g. HSE improvement/prohibition notices and prosecutions.

Question 3 asks you to complete figures of accidents/incidents – please note that 'people employed by the company' refers to employees and labour only subcontractors/subconsultants. Please ensure you only enter details of accidents/incidents and **not** the *numbers* of personnel/subcontractors used. If there is nothing to declare, please enter '0' in each box.

Where accidents/incidents have occurred, we require details to be provided to briefly explain what happened and the actions you took to prevent a recurrence.

Please note that the Auditor will also verify your response to question 5 against publicly available records on HSE databases. Any inconsistencies between your response and the information provided by the HSE will be queried with you.

Page 8 - Subcontracting/Consulting Procedures

This section only needs to be completed if you have declared the use of bona fide subcontractors/subconsultants in the 'general information' section on page 1. If you **only** use direct employees and labour only subcontractors/subconsultants, answer 'no' and move on to the next page.

If bona fide subcontractors/subconsultants are used, you are required to have arrangements in place for checking their competence prior to appointing them, ensuring they are suitably experienced and insured, and for monitoring their performance. This involves undertaking a competency assessment yourself (similar to the Designer assessment you have applied to CQMS for), or ensuring they have been assessed by a suitable organisation e.g. SSIP member, in the last 12 months.

CQMS ask for evidence of your assessments from within the last 12 months, such as a copy of the questionnaire completed by the subcontractor/subconsultant and the evidence they supplied, and evidence to show that you have reviewed it and deemed it acceptable. Blank template documents are not accepted.

Please note that the Auditor will cross refer responses to this section with the information detailed in the General Information section on page 1 and the Health and Safety Policy on page 2 and any inconsistencies will be queried with you.

Page 9 - Risk Assessment Leading to a Safe System of Work

You should have procedures in place for carrying out risk assessments and for developing and implementing safe systems of work. The identification of occupational health issues is expected to feature prominently in this system. We ask you to provide copies of your General, Manual Handling, COSHH and Display Screen Equipment assessments.

These must cover all activities you have asked us to assess in the 'General Information' section on page 1 including where relevant visits to construction sites, client premises, etc and have been completed/reviewed within the last 12 months. Blank templates are not accepted.

Please note this section is **not** requesting copies of 'design risk assessments' which you have completed as part of your duties under the CDM Regulations to detail residual risks as a result of your design activities. It is designed to show your implementation of your duties under the Management of Health and Safety at Work Regulations 1999, Manual Handling Operations Regulations 1992, Control of Substances Hazardous to Health Regulations 2002 and Health and Safety (Display Screen Equipment) Regulations 2002 to identify and adequately control risks to your employees at work.

If you employ less than 5 persons and do not have written documentation, you must be able to adequately describe how you identify health and safety hazards and control the risks, and communicate this to your workforce. For high risk trades/activities you may be asked by the Auditor to provide written documentation.

Please note that the Auditor will cross refer evidence in this section with the information detailed in the General Information and Training sections, and any inconsistencies will be queried with you.

Page 10 - Cooperating with Others & Coordinating your Work with Other Contractors

You should be able to explain how you ensure cooperation and coordination of your work is in practice to eliminate, or mitigate, risks to the workforce and third parties.

Page 11 - Welfare Provision

You have a legal duty to ensure that persons you employ have access to suitable welfare facilities whilst they are at work. This section requires you to explain and provide evidence of how you achieve this.

Page 12 – Hazard Elimination & Risk Control

As a Principal Designer is, by definition, a Designer (see 'Purpose' section) who is in control of the pre-construction phase of a project, you need to show how you comply with duties as a Designer. It is essential that all evidence provided is dated within

the last 12 months and relates to real projects - blank / template / example documents will not be accepted as they do not show that you have complied with your duties.

Question 1 looks at how you ensure the Client is aware of their duties under the Regulations, with appropriate evidence to support your answer. Designers are often appointed before Principal Designers, particularly in the very early stages of a project before the Client can decide whether or not to go ahead with the works. Designers are the Client's first point of contact, therefore should ensure that the Client is aware of the CDM Regulations 2015 and the duties this places on the Client. We ask for evidence, dated within the last 12 months, to show that you have done this.

Question 2 focusses on cooperation and communication between main parties involved in a project which is a key requirements in the CDM Regulations 2015. You will need to explain how you ensure that you share health and safety information with other dutyholders, ensure your designs are compatible, etc and provide evidence dated within the last 12 months.

Question 3 relates to the [Workplace \(Health, Safety & Welfare\) Regulations](#); if you are responsible for designing buildings, or areas of buildings, which will be used as workplaces once complete they need to comply with the Workplace (Health, Safety and Welfare) Regulations. This ensures that those eventually using the building can comply with their duties as an employer under these Regulations which require them to provide adequate ventilation, reasonable working temperatures, sufficient lighting (preferably natural), adequate working space, suitable and sufficient sanitary conveniences and washing facilities at readily accessible places, the ability to clean windows and skylights safely, etc.

Question 4 asks how you eliminate, or reduce, risks through your design process which is one of the most important duties placed on a Designer by the CDM Regulations 2015. You are expected to show how you implement the General Principles of Prevention (see [Appendix 1 of the CDM Guidance document L153](#)), with evidence dated within the last 12 months. This could be evidenced by design risk registers showing that you identified a hazard and then subsequently amended your design to eliminate it, or if it could not be eliminated then reduced so it poses a lower risk.

Question 5 then seeks to determine how you communicate the remaining hazards associated with your design to other dutyholders who are using or implementing the design such as the Principal Designer, other Designers, the Principal Contractor, Contractors, etc. You may do this in a variety of ways including highlighting hazards on your drawings and maintaining a drawing distribution list, issuing up to date risk registers with your drawings, detailed in emails, etc. Evidence must be supplied dated within the last 12 months.

Question 6 is the final question in this section. It requires you to detail the evidence that you typically provide to the Principal Designer for inclusion in the Health and Safety File, with relevant evidence to support your response. The Health and Safety File is the document which is handed to the Client upon completion of the project as a record of what has been built and the health and safety requirements for using, cleaning, maintaining and eventually demolishing the structure. The information you provide must be specific to your design for the project, e.g. 'as built' drawings, details of residual risks.

Page 13 – Principal Designer

These questions are completed by Principal Designers only, and focus on how you discharge the duties of a Principal Designer as detailed in Regulation 11 of the CDM Regulations 2015.

Question 1 requires you to explain how you assist the Client to identify, obtain, collate and share pre-construction information relevant to the project. 'Pre-construction information' is information in the client's possession or which is reasonably obtainable by or on behalf of the Client, which is relevant to the construction work and is of an appropriate level of detail and proportionate to the risks involved. This may include structural reports, asbestos surveys, existing services plans, ground investigation reports, etc. You need to provide evidence, dated within the last 12 months, to show how you have complied with this duty.

Question 2 seeks to determine how you ensure ongoing coordination between designers during the project. A key role of the Principal Designer is to focus on ensuring the design work in the pre-construction phase contributes to the delivery of positive health and safety outcomes. Bringing together designers as early as possible in the project, and then on a regular basis, to ensure everyone carries out their duties, will help to achieve this. We ask you to explain how this takes place, then provide evidence to show that you have done this, dated within the last 12 months, for example copies of design team meeting minutes.

Question 3 asks you to explain how you oversee design decisions, and provide relevant evidence from within the last 12 months. This includes ensuring that significant hazards associated with design elements are eliminated, or reduced as far as possible, with details provided to all necessary dutyholders. It is useful to explain how you deal with design changes if they occur late in the project and how you ensure that the impact on other designs and risks to construction workers is checked.

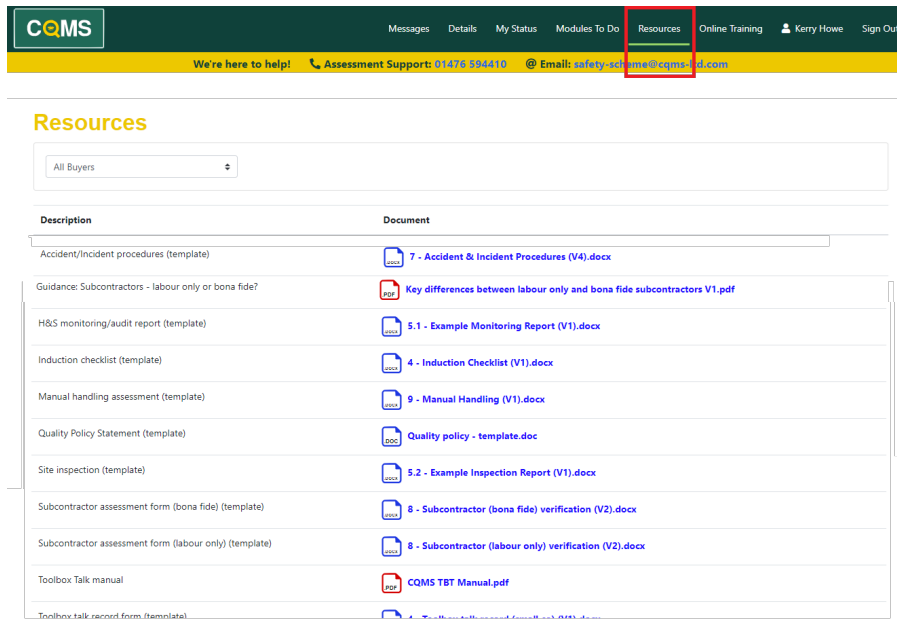
Question 4 requires you to explain how you comply with your legal duty to ensure ongoing cooperation and coordination with the Principal Contractor during the project, and provide evidence dated within the last 12 months. During the pre-construction phase this must cover sharing information that may affect the planning, management, monitoring and coordination of the construction phase – in particular, the information needed by the Principal Contractor to prepare their Construction Phase Plan. Liaison should also extend into the construction phase to deal with ongoing design and obtaining information for the Health and Safety File.

Question 5 is the final question in this module. It requires you to describe your procedures for preparing and collating the Health and Safety File throughout the course of the project, and handing it over to the Client upon completion at the end of the project, and provide evidence dated within the last 12 months to show that this has been done. The Health and Safety File must contain relevant information about the project which should be taken into account when any construction work is carried out on the building after the current project has finished. Information included should only be that which is needed to plan and carry out future work safely and without risks to health.












Template Documents:

In addition to the information contained in this guide, CQMS have made available a number of template documents and additional resources which can be used by suppliers to assist them in providing sufficient evidence for the assessment. They can be downloaded, completed with relevant information and then uploaded into the H&S Contractor module.

The template documents can be found in the 'Resources' tab at the top of your supplier profile on the CQMS Portal:



The screenshot shows the CQMS Portal interface. At the top, there is a navigation bar with the CQMS logo and several menu items: Messages, Details, My Status, Modules To Do, Resources (highlighted with a red box), Online Training, Kerry Howe, and Sign Out. Below the navigation bar, there is a yellow banner with the text "We're here to help! Assessment Support: 01476 594410 Email: safety-scheme@cqms-ltd.com". The main content area is titled "Resources" and features a dropdown menu set to "All Buyers". Below this, there is a table with two columns: "Description" and "Document".

Description	Document
Accident/Incident procedures (template)	 7 - Accident & Incident Procedures (V4).docx
Guidance: Subcontractors - labour only or bona fide?	 Key differences between labour only and bona fide subcontractors V1.pdf
H&S monitoring/audit report (template)	 5.1 - Example Monitoring Report (V1).docx
Induction checklist (template)	 4 - Induction Checklist (V1).docx
Manual handling assessment (template)	 9 - Manual Handling (V1).docx
Quality Policy Statement (template)	 Quality policy - template.doc
Site inspection (template)	 5.2 - Example Inspection Report (V1).docx
Subcontractor assessment form (bona fide) (template)	 8 - Subcontractor (bona fide) verification (V2).docx
Subcontractor assessment form (labour only) (template)	 8 - Subcontractor (labour only) verification (V2).docx
Toolbox Talk manual	 CQMS TBT Manual.pdf
Toolbox talk record form (template)	 Toolbox talk record form (template).docx

Validity & Renewal:

The H&S Principal Designer module is valid as follows:

Route 1 - if CQMS Safety-Scheme have carried out a full assessment then there will be 12 months given from the date the module is signed off by the CQMS Auditor as 'complete'.

Route 2 – if you have used an existing SSIP member assessment through the 'DtS' process, the expiry date on the CQMS H&S module will mirror that given by the originating Registered Member scheme, or using the ISO45001 expiry date given by the Certification Body Member scheme (the 'base date') less 1 or 2 years relative to the base date at the time of DtS application.

This ensures that all suppliers have an annual assessment/surveillance audit [refer to sections 8.4 and 8.5 of the SSIP Rules & Bylaws].

CQMS will issue reminders in advance of expiry to individuals listed as 'contacts' on your supplier profile so the renewal process can be commenced.

Further information:

Please see the CQMS Safety-Scheme Terms & Conditions, available on the CQMS Portal login page or request from CQMS Safety-Scheme. The T&Cs provide further information on the CQMS Safety-Scheme processes, fees, etc.

To find out more about SSIP, their members and an indication of their fees, and the DtS process, please visit their website <https://SSIP.org.uk/>

The Safety-Scheme team are happy to support you through the process and provide guidance of use of the CQMS Safety-Scheme Portal, buyer requirements or sign-posting to industry guidance where required. This support is included at no extra cost.

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