



# Audit Report



## Verify Category B2

### Year 1 Audit

**Stem Drive Ltd**

Date of MSE Audit: 03/12/2014

Date of site Audit: 04/12/2014

#### **Achilles Information Limited**

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**Preface**

This document contains the Verify B2 Audit Report which is used by UVDB Verify Subscribing Buyers to measure the capabilities of the suppliers in their supply chain. The audit process consists of an evaluation of the supplier's management systems for health and safety, environment and quality, and for the implementation of these systems, including during work away from their base, usually at a Buyer's site.

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## Supplier Details

Date of Management Systems Evaluation (MSE) :

03/12/2014

Date of Site Evaluation:

04/12/2014

UVDB Supplier No:

61093

**Company Name:** Stem Drive Ltd

<b>Company Address:</b>
Solway Works
Eastriggs
Dumfriesshire
DG12 6NJ

<b>Site Address:</b>
Project File only
Site Name: Burntwood WWTW

<b>MSE Contact:</b>	Lorna Hind
Position:	Company Secretary
Tel No:	01461 40904
Fax No:	n/a

<b>Management Systems Evaluation Personnel Present:</b>
Lorna Hind - Company Secretary, Jennifer Richardson - Admin Secretary, Ed Woodman - Contracts Manager, John Lamont - QA Coordinator

<b>Site Personnel Present/Interviewed:</b>
As per MSE Audit. Please note that no site was available during the audit - the site aspect of this audit focussed on site project files for a recently completed project for Severn Trent Water. The company will endeavour to ensure a site is available for the next audit N.B This may have to be carried out in England/ MSE in Scotland.

## Score Summary

**MSE:**

Health and Safety: 76.1%  
 Environment: 65.6%  
 Quality: 82.0%

**Site:**

Health and Safety: 87.7%  
 Environment: 83.3%  
 Quality: 83.0%

Protocol Version 9.5 Issue 3.0

Issued:08/12/2014

<b>Verify Auditor:</b>
Loraine Small

# Verify Category B2 Audit Report

## Section 00. Introduction

### 00.01 Overview of the company's activities:

**Manufacture and Installation of Fluidic Mixers and Mixing Systems**

### 00.02 Site Project Details:

Location:

**Burntwood Waste Water Treatment work**

Description:

**Manufacture and Installation of Fluidic Mixer System for Severn Trent Water**

### 00.03 Establishment:

Staff/operatives:

**2 x Installation Engineers**

Plant and equipment:

**4 x Mixing Nozzles, Hydrovane Compressor, 4 way Manifold, Valves, Air Delivery pipes and Fittings. 1 x company vehicle, Hand tools, Rotary hammer drill, Pipe threading machine, Alloy Tower (Hired) and PPE.**

Fuel and materials:

**Pipe threading lubricant and thread sealant - Coshh assessments**

### 00.04 Scope of Activities:

Provides design input into projects

Employs sub-designers

Employs sub-contractors

Stores and uses substances hazardous to health

Stores and uses substances which are deleterious to the Environment

Major construction and refurbishment

Handles, works with or has exposure to:

- Asbestos
- Lead based materials
- Mercury
- Ionising Radiations
- Microwave Radiations

All services

N
N
Y
Y
Y
N
N
N
N
N
N
N
N
N

Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N

audit

N
N
Y
Y
Y
N
N
N
N
N
N
N
N
N

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Working at height  
 Excavations  
 Diving operations  
 Street Works  
 Working in confined spaces  
 Working in potentially explosive atmospheres  
 Hot Work (Welding, Grinding etc)  
 Operations under Clients' Permit-to-Work and/or Limitation of Access Systems  
 Employs, or is likely to employ, staff or subcontractors who are not fluent in the local language?

Y
N
N
N
Y
Y
Y
N

Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N

Y
N
N
N
Y
N
Y
Y

## 00.05 Health and Safety Certification

Name of Scheme or standard:

Name of certifying body:

Certificate No:

Date of expiry:

Name of accreditation authority of certifying body:

Scope of certification:

## 00.06 Environmental Certification

Name of Scheme or standard:

Name of certifying body:

Certificate No:

Date of expiry:

Name of accreditation authority of certifying body:

Scope of certification:

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## 00.07 Quality Certification

Name of Scheme or standard:

**BS EN ISO 9001:2008**

Name of certifying body:

**CQS**

Certificate No:

**GB2003069**

Date of expiry:

**14th December 2018**

Name of accreditation authority of certifying body:

**IAB**

Scope of certification:

**Manufacture and Installation of Fluidic Mixers and Mixing Systems**

# Verify Category B2 Audit Report

## Section 01. Policy and Management Systems

01.01 How many people are employed by the company?

There are currently 3 direct employees. ( Agency labour and Subcontractor is used for manufacture and installation )

01.02 Does the company have Health and Safety, Environmental and Quality Policy Statements that are available on-site at or near the work face?

The policy statements are available to all via the company IT system, this can be accessed by all employees. Signed copies are displayed within the controlling office.

01.03 How do the Policy Statements address the necessary issues? Do they:

- Set the direction of the company by communicating management values, beliefs and commitment to health and safety, environment and quality?
- Commit to compliance with health and safety and environmental legislation and regulations?
- Set health and safety, concern for the environment and quality in context with other aspects of the business, and explain how it can contribute to business performance?
- Relate to the nature, scale and environmental impacts of the organisations activities, products and services
- Provide a framework for setting and reviewing health and safety and environmental objectives and targets?
- Commit to continual improvement?
- Commit to customer focus?
- Identify who has ultimate responsibility for formulating and implementing the policy – usually a director or key senior manager?
- Explain the responsibilities of managers and those of employees?
- Seek the involvement of employees and safety representatives?
- Outline the basis for effective communication?
- Commit adequate financial and physical resources?
- Detail how and by whom its operation is to be monitored?
- State the period for policy review?
- Have an appropriate signatory and date?

Policy statements are signed by the Managing Director ( Mr G Hind ) and dated as appropriate.

01.04 Is the Environmental Policy Statement available to the public?

The policy statement is available on request.

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
01.01							
01.02				0 / 1	1	1	1
01.03	5	5	5	0 / 5			
• Set the direction of the company by communicating management values, beliefs and commitment to health and safety, environment and quality?	Y	Y	Y	Y / N			
• Commit to compliance with health and safety and environmental legislation and regulations?	Y	Y		Y / N			
• Set health and safety, concern for the environment and quality in context with other aspects of the business, and explain how it can contribute to business performance?	Y	Y	Y	Y / N			
• Relate to the nature, scale and environmental impacts of the organisations activities, products and services		Y		Y / N			
• Provide a framework for setting and reviewing health and safety and environmental objectives and targets?	Y	Y		Y / N			
• Commit to continual improvement?	Y	Y	Y	Y / N			
• Commit to customer focus?			Y	Y / N			
• Identify who has ultimate responsibility for formulating and implementing the policy – usually a director or key senior manager?	Y	Y	Y	Y / N			
• Explain the responsibilities of managers and those of employees?	Y	Y		Y / N			
• Seek the involvement of employees and safety representatives?	Y			Y / N			
• Outline the basis for effective communication?	Y	Y		Y / N			
• Commit adequate financial and physical resources?	Y	Y	Y	Y / N			
• Detail how and by whom its operation is to be monitored?	Y	Y	Y	Y / N			
• State the period for policy review?	Y	Y	Y	Y / N			
• Have an appropriate signatory and date?	Y	Y	Y	Y / N			
01.04		1		0 / 1			

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## 01.05 In addition to the Policy Statement, does the Health and Safety and Environmental Policy / Management System / Quality Manual include written sections on or clear reference to:

- Overview of the products and services?
- Scope and coverage of the management system?
- Organisation and responsibilities?
- Consultation with employees?
- Environmental Aspects and Impacts?
- Risk Management/Assessment?
- Safe Plant and Equipment?
- Safe Handling and Use of Substances?
- Provision of Information?
- Competency and Training?
- Accident, Incident and Near Miss Reporting?
- Monitoring/inspections?
- Emergency Procedures including at work sites?
- Management of Subcontractors?
- Waste and Recycling?
- Materials from Sustainable sources?
- Audit and Management Review?
- Responsibilities under the CDM Regulations?
- Procedures?
- Work instructions of equivalent?
- Forms?
- Standards and guidelines?

3	2	5	0 / 5
		Y	Y / N
		Y	Y / N
Y	Y	Y	Y / N
Y	Y		Y / N
	N		Y / N
Y	Y		Y / N
Y			Y / N
N			Y / N
Y	Y		Y / N
Y	Y		Y / N
Y	Y		Y / N
Y	Y		Y / N
N	N		Y / N
Y	Y		Y / N
	N		Y / N
	N		Y / N
Y	Y	Y	Y / N
Y			Y / N
		Y	Y / N
		Y	Y / N
		Y	Y / N

## 01.06 What is the date of the last review of the policy/ management system? Detail below:

Management Review meetings 7th October 2014 - Minutes witnessed during the audit.

2	2	0 / 2

## 01.07 Quality Management System coverage (sites and products/services)?

- All sites and services, or
- Some sites and services

Give details below of any limitations in coverage:

2	0 / 2
Y	Y / N/A
N/A	Y / N/A

Are the subject site and associated services covered?

0 / 2

2

Do staff at the site office have full access to the entire Quality Management System documentation:

- Via a local area network or some other fast connection?
- Via a routinely issued CDROM?

0 / 3

1

Other

Y / N

N

Y / N

N

The installation team complete a full company induction prior to commencement of any works. A detailed project file is provided to the team and telephone communication with the management team is available during the project works.



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## 01.08 Does the company have quality performance objectives and targets based on:

- Service delivery standards?
- Customer complaint levels?
- Testing and inspection failure rates?
- Rework:

Other:

**Targets and objectives are not measured or formally documented - the company could benefit from formalising this procedure.**

1	0 / 3
Y	Y / N
Y	Y / N
Y	Y / N
Y	Y / N

## 01.09 What health and safety planning and progress evidence is available:

- Annual safety plan?
- Company/department/site targets or strategies?
- Agenda items at management meetings?
- Visible progress indicators?
- Annual reviews?
- Site reviews?

2	0 / 4	2
N	Y / N	
N	Y / N	N
Y	Y / N	
N	Y / N	N
Y	Y / N	
Y	Y / N	Y

**The Health and Safety management system is reviewed on an annual basis, safety planning is completed for individual projects as per the project specification and client requirements.**

## 01.10 Is the implementation part of a recognised management system. Specify scheme?

See Introduction Section for details.

If not certified give details of future intentions:

**The health and safety management system, although uncertified is based on elements of BS OHSAS 18001:2007.**

2	2	0 / 4
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Is the site within the scope of this scheme?

**The environmental management system, although uncertified is based on elements of ISO 14001:2004.**

0 / 3	2	2
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## 01.11 Has the Quality Management System been certified by an independent 3rd party to ISO 9001 or some other equivalent national or international standard relevant to the products and services offered?

(Score 0 or 3). See Introduction Section for details.

If not certified give details of future intentions:

3	0 / 3
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## 01.12 Is the certifying authority UKAS or equivalent accredited : (Score 0 or 3)

**CQS is not UKAS accredited**

0	0 / 3
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## 01.13 Are exclusions claimed in accordance with clause 7 of ISO 9001?

(Score 0 if not working to ISO 9001 or equivalent):

- No exclusions claimed in accordance with clause 7 of ISO 9001. (Score 2) or;
- Exclusions claimed - in accordance with clause 7 of ISO 9001 justification provided (Score 2) or;
- Exclusions claimed - justification not provided? (Score 0)

2	0 / 2
Y	Y / N/A
N/A	Y / N/A
N/A	Y / N/A

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## 01.14 Has the organisation a system for establishing legal compliance requirements?

- Does it identify all the relevant legislation and other requirements?
- Does it identify the relevant responsible person?
- Are this person's responsibilities clearly defined in writing?
- Does it identify changes to legislation and associated requirements?
- Does it take into account expected future changes?
- Is the system documented?

0	0	0 / 3
N	N	Y / N
N	N	Y / N
N	N	Y / N
N	N	Y / N
N	N	Y / N
N	N	Y / N

There is scope for the company to formally define the procedure and responsibilities regarding legal compliance.

## 01.15 What information sources are readily available to the company? Does the company have or use:

- An in-house set of legislation and ACOPs etc?
- Subscription services (detail below including who has access)?
- HSE, EA/SEPA and related web sites?
- IOSH?
- Health and safety, environmental specialists?
- Trade unions and related web sites?

3	3	0 / 5
Y	Y	Y / N
N	N	Y / N
Y	Y	Y / N
N		Y / N
Y	Y	Y / N
N	N	Y / N

Other:

There is scope to formalise and define the procedure for ensuring legal compliance.

## 01.16 Is there adequate access to health and safety and environmental information sources at the site office?

During the site project works the client procedures and policies are followed, a full site induction is completed as well as daily briefings and toolbox talks.

0 / 3	3	3
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## 01.17 Is there a process for the control of all procedural documentation and forms that includes:

- Formalisation in a procedure?
- Unique identification of documents?
- A central register or a library of electronic Master Documents?
- Approval of revisions before issue?
- That prints or issues based on electronic master documents are considered as not subject to update?
- For the issue of documentation, or notification of updates to electronic masters to be acknowledged?
- A mechanism to withdraw old documents that were issued in hard copy?
- Control of Client's documentation (Permits-to-Work and Limitation of Access)?

4	4	5	0 / 5
N	N	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y			Y / N

Defined with the Quality Management system manual - section 4.2

Are the above control measures evident and in-use on site:

- Documents issued to the work face are controlled?
- Access to electronic documents is available at the site office?
- Access to Client's documentation (Permits-to-work and Limitation of Access) is available at the site office?

0 / 3	3	3	3
Y / N	Y	Y	Y
Y / N	Y	Y	Y
Y / N	Y		

Project specific documents are compiled and issued prior to commencement if any works by the controlling office.

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**01.18 Does the Environmental policy or management system ensure that good environmental practice is incorporated into designs:**

- Covering selection of materials?
- During Construction?
- Post Construction eg energy efficiency?
- Wildlife habitats?
- Social aspects?

No design within service delivery

2
---

0 / 3

N/A
-----

Y / N

N/A
-----

Y / N

N/A
-----

Y / N

N/A
-----

Y / N

N/A
-----

Y / N

**01.19 With regard to changes and variations to designs:**

- Is there a formal modifications or variations procedure in use?
- Does the procedure include documents as well as drawings?

3
---

0 / 3

N/A
-----

Y / N

N/A
-----

Y / N

## Section 01. Policy and Management Systems - Scores Summary

Score Achieved

Total Potential Score

MSE		
H&S	Env	Qual
21	21	26
33	33	31

Site		
H&S	Env	Qual
11	9	7
14	10	9

## Section 01. Policy and Management Systems - Executive Summary

### Management System Evaluation

The health and safety and environmental policy statements demonstrates the company's commitment to continual improvement, adequate resource provision and legislative compliance. The quality policy statement demonstrates the company's commitment to customer focus, adequate resource provision and continual improvement in quality performance. They all bear an appropriate signatory and valid date. The supporting Health and safety and Environmental management systems currently uncertified although they do include appropriate written sections to address specific areas of reference regarding BS OHSAS 18001:2007 and ISO 14001:2004. The Quality Management system is certified to ISO 9001:2008.

### Site Assessment

The health and safety, environmental and quality policy statements are prominently displayed on notice boards within the controlling site location facilities and are accessible to employees. There is adequate access to activity related health and safety information through issued documentation including method statements, operating instructions and policy documents as appropriate. The workforce are able to access activity-related information via notice board displays, reference documents, posters, bulletins, client information and qualified internal personnel.

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## Section 02. Organisational Structure and Responsibilities

**02.01 Are organisational charts available that relate specifically to health and safety, environment and quality respectively?**

Are the charts available to operatives and others at or near the work face?

Responsibilities are defined within the Management system manuals and an organisational chart shows visually the chain of command and areas of responsibility.

MSE			0 / 1	Site		
H&S	Env	Qual		H&S	Env	Qual
1	1	1				

**02.02 Does the person identified as having ultimate responsibility have:**

- Appropriate authority and standing within the Company?
- Responsibilities clearly stated and appropriate?
- Relevant training and experience?

Indicate that person:

Managing Director - Mr G Hind

3	3	3	0 / 3
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N

**02.03 For the person identified with site responsibilities, are those responsibilities clearly stated and include:**

- Control of risk?
- Acceptance and understanding of Client's documentation requirements (Permits-to-work and Limitation of Access)?
- Implementation of emergency procedures?
- Accident and incident reporting and investigation?
- Health and welfare of employees established on-site?
- Protection of the environment in relation to the activities being undertaken?

Mr E Woodman - Contracts Manager

0 / 4	4	4
Y / N	Y	Y
Y / N	Y	
Y / N	Y	Y
Y / N	Y	Y
Y / N	Y	
Y / N		Y

**02.04 Are responsibilities clearly stated for all line management positions?**

Are responsibilities clearly stated for all other positions?

Organisational Structure and Responsibilities are defined within the management system manual. ( Section B )

3	3	0 / 3
2	2	0 / 2

**02.05 Does the Company use qualified support?**

- From Internal resources?
- By placing reliance on external resources?
- Do they hold appropriate safety qualifications? Eg: CMIOSH, NEBOSH Diploma?
- Do they hold appropriate environment management qualifications ? (eg CIEH or IEMA Certificates or Diplomas or equivalent)
- Do they have appropriate quality related qualifications?
- Do they have appropriate experience?

External Consultant - Henry John McClelland - Nebosh General cert. ( Clagan Ltd ) and J Lamont - Quality Consultant

2	2	3	0 / 3
Y	Y	Y	Y / N
N	N	N	Y / N
N			Y / N
	N		Y / N
		Y	Y / N
Y	Y	Y	Y / N

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## 02.06 If health and safety external support is relied upon, do their responsibilities:

- Form part of a formal contract?
- Include advice on current and new legislation?
- Include advice or guidance on risk assessments and safe systems of work?
- Include advice on accident and incident investigation?
- Include inspection and audit work?

2
N
N
Y
Y
Y

0 / 3  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N

The responsibilities of the external consultant could be defined within the management system to include advise and update on legal compliance.

## 02.07 With regard to the CDM Regulations, is there a process for defining responsibilities and ensuring compliance? Does the process cover the following aspects:

- Ensuring that the Client is aware of his duties?
- Duties of the Designer?
- Duties of Contractors?
- Duties of the CDM Co-ordinator?
- Duties of the Principal Contractor?
- Duties relating to Health and Safety on Construction Sites?
- That the process is formally documented?

3
N/A
N/A
Y
N/A
N/A
N/A
N/A
N

0 / 5  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N  
Y / N

The responsibilities of CDM duties could be formally defined within the management system.

## Section 02. Organisational Structure and Responsibilities - Scores Summary

Score Achieved  
Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
16	11	7	5	5	1
20	12	7	5	5	1

## Section 02. Organisational Structure and Responsibilities - Executive Summary

### Management System Evaluation

The organisation chart reflects the present structure of the company, identifies responsible persons and lines of supervision and communication. Ultimate responsibility for health and safety, environmental and quality issues is held by the Managing Director with delegation to nominated line managers for specific areas of the business. Health and safety responsibilities for line management and other positions are defined within sections of the management system manual. The company use external resource, for advice, guidance and information update resource regarding health and safety and environmental issues. The company utilise quality assurance support through the expertise of its managers and workforce.

### Site Assessment

Site staff are provided with the company organisation chart which identifies responsible persons and lines of authority and is retained within site file documentation. The Contracts Manager is identified with site control and has clearly stated responsibilities which includes, control of risks, implementation of emergency procedures and accident reporting.

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Section 03. Health and Safety Hazards and Risk Identification and Control	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
03.01 Has the company compiled a health and safety hazard register?	0			0 / 1			
03.02 Is the health and safety hazard list provided commensurate with the Company's activities? <i>The company could benefit from compiling a hazard register associate with its activities.</i>	0			0 / 2			
03.03 Does the company have a system which defines the process for managing health and safety risks? <ul style="list-style-type: none"> <li>The system is defined in a formal procedure?</li> <li>Design or design changes are included?</li> </ul> <i>Defined within the health and safety manual section C-28.</i>	2 N N/A			0 / 2 Y / N Y / N			
03.04 With regard to health and safety risk assessments (including COSHH): Which of the following types of risk assessment are used: <ul style="list-style-type: none"> <li>Generic (indicate below how they are used)?</li> <li>Site specific?</li> <li>Personal?</li> <li>New and expectant mothers?</li> <li>Use of workers who are not fluent in the local language?</li> <li>Young persons?</li> <li>Fire risk assessments?</li> </ul> <i>Fire Risk Assessment has been completed by sister company ( H&amp;I Engineering ) and landlord - witnessed during the audit. ( Norman Davies Fire Safety Consultant 16th January 2014</i>	5 Y Y Y N/A N/A N/A Y			0 / 5 Y / N Y / N Y / N Y / N Y / N Y / N Y / N	5 Y Y Y N/A N/A N/A Y		
03.05 How is the adequacy of risk assessments ensured? <ul style="list-style-type: none"> <li>Are those completing the evaluations suitably experienced?</li> <li>Are human factors considered?</li> <li>Are the control measures unambiguous, detailed and stand-alone?</li> <li>Are risk assessments recorded ?</li> <li>Are risk assessments signed and dated ?</li> </ul> <i>Hazards identified within the risk assessments include: site works, working within tanks, contamination from sludge, electrocution, manual handling, noise and vibration, hand tools, Coshh, working at height and confined space.</i>	5 Y Y Y Y Y			0 / 5 Y / N Y / N Y / N Y / N Y / N	5 Y Y Y Y Y		
03.06 Is there evidence that the control measures are implemented on-site? <ul style="list-style-type: none"> <li>Those affected are formally briefed and recorded as such?</li> <li>That understanding is assured?</li> <li>Operatives are aware of the risks and associated controls?</li> <li>Controls were seen to be implemented relative to the job in hand?</li> </ul> <i>RAMS are completed and signed to ensure an understanding.</i>				0 / 5 Y / N Y / N Y / N Y / N	5 Y Y Y Y		

# Verify Category B2 Audit Report

<b>03.07 Are risk assessments (all types in use) reviewed at appropriate occasions?</b> <ul style="list-style-type: none"> <li>Are the reviews recorded?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> </table>	3	Y		<table border="1"> <tr><td>0 / 3</td></tr> <tr><td>Y / N</td></tr> </table>	0 / 3	Y / N															
3																						
Y																						
0 / 3																						
Y / N																						
<b>Reviewed on an annual basis as per the risk assessment procedure ( C-28 ) Risk Assessment for office based working in place and witnessed during the audit.</b>																						
<b>03.08 Are method statements used that <u>incorporate or refer</u> to risk assessments. Are they drawn up:</b> <ul style="list-style-type: none"> <li>In co-operation and co-ordination with other contractors ?</li> <li>With involvement of the work force ?</li> <li>In conjunction with the client ?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	Y	Y	Y		<table border="1"> <tr><td>0 / 3</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> </table>	0 / 3	Y / N	Y / N	Y / N	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	Y	Y	Y						
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Y																						
<b>The method statement is issued to the client prior to commencement of any works for comment and approval.</b>																						
<b>03.09 If design is undertaken, including changes to the design created by others, indicate how the associated risks are managed:</b> <ul style="list-style-type: none"> <li>There is co-operation and co-ordination of design work within the design team and other designers/contractors?</li> <li>Hazards are eliminated and remaining risks controlled?</li> <li>Examples of design risk reviews are available?</li> <li>Ensuring that any design for a workplace meets the requirements of the Workplace (Health, Safety and Welfare) Regulations?</li> <li>There is a process with dealing with modifications to existing designs?</li> </ul>	<table border="1"> <tr><td>4</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> </table>	4	N/A	N/A	N/A	N/A	N/A		<table border="1"> <tr><td>0 / 5</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> </table>	0 / 5	Y / N	Y / N	Y / N	Y / N	Y / N							
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<b>No design within service delivery - average score applied</b>																						
<b>03.10 Regarding the provision of plant, equipment (general, electrical, monitoring and measuring etc), transport, materials and substances: is an asset register kept of all plant, systems and equipment that requires examination, test, or calibration?</b>	<table border="1"> <tr><td>2</td></tr> </table>	2		<table border="1"> <tr><td>0 / 2</td></tr> </table>	0 / 2	<table border="1"> <tr><td>2</td></tr> </table>	2															
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<b>Asset register kept on electronic database and is updated as appropriate - witnessed during the audit.</b>																						
Is there a policy for maintaining this plant and equipment in a safe for use condition? <b>Defined within the health an safety manual - Work equipment C30-31</b>	<table border="1"> <tr><td>2</td></tr> </table>	2		<table border="1"> <tr><td>0 / 2</td></tr> </table>	0 / 2																	
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<b>03.11 Are statutory examinations, and other inspections and tests carried out on the following owned equipment at the appropriate periodicities:</b> <ul style="list-style-type: none"> <li>Cranes and Lifting Equipment?</li> <li>Local Exhaust Ventilation Systems?</li> <li>Hoists and Harnesses for raising/lowering personnel ?</li> <li>Mobile elevating work platforms ?</li> <li>Ladders and static access equipment ?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>Y</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> </table>	3	N	N	Y	N	N		<table border="1"> <tr><td>0 / 3</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> <tr><td>Y / N</td></tr> </table>	0 / 3	Y / N	Y / N	Y / N	Y / N	Y / N	<table border="1"> <tr><td>3</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>N</td></tr> </table>	3	N	N	Y	Y	N
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# Verify Category B2 Audit Report

<ul style="list-style-type: none"> <li>Pressure systems?</li> <li>Electrical Systems?</li> <li>Fire Protection and Alarm Systems?</li> <li>Are maintenance schedules available?</li> <li>Are up-to-date records (certificates) kept of completed examinations, inspections and tests?</li> </ul>	<table border="1"> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	Y	Y	Y	Y	Y		<table border="1"> <tr><td>Y / N</td><td>Y</td></tr> <tr><td>Y / N</td><td>N</td></tr> <tr><td>Y / N</td><td>N</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> </table>	Y / N	Y	Y / N	N	Y / N	N	Y / N	N/A	Y / N	N/A
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<p><b>Fire Alarm Maintenance and service records are retained by the landlord at the controlling office. Workshop Compressor - Air Mac Ref: 671123 next due Nov 2015. Pat Testing completed as per the Register: Seaward - John Smith Electrical Engineer 11.10.14. Fire Log Book includes:- emergency lighting test, extinguisher tests, evacuation and alarm test log and installation and service record for the Fire System.</b></p>																		
<p><b>03.12 With regard to owned plant and equipment:</b></p> <ul style="list-style-type: none"> <li>Is plant subjected to a daily inspection, which is recorded?</li> <li>Is the use of such plant and equipment subject to risk assessment?</li> </ul>	<table border="1"> <tr><td>2</td></tr> <tr><td>N</td></tr> <tr><td>Y</td></tr> </table>	2	N	Y		<table border="1"> <tr><td>0 / 3</td><td>2</td></tr> <tr><td>Y / N</td><td>N</td></tr> <tr><td>Y / N</td><td>Y</td></tr> </table>	0 / 3	2	Y / N	N	Y / N	Y						
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<p><b>The company could benefit from formally recording the plant inspections completed.</b></p>																		
<p><b>03.13 With regard to hired-in plant and equipment:</b></p> <ul style="list-style-type: none"> <li>Are appropriate certificates obtained on receipt, inspected and filed?</li> <li>Is plant subjected to a daily inspection, which is recorded?</li> <li>Is the use of such plant and equipment subject to risk assessment?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	Y	Y	Y		<table border="1"> <tr><td>0 / 3</td><td>3</td></tr> <tr><td>Y / N</td><td>Y</td></tr> <tr><td>Y / N</td><td>Y</td></tr> <tr><td>Y / N</td><td>Y</td></tr> </table>	0 / 3	3	Y / N	Y	Y / N	Y	Y / N	Y			
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<p><b>Plant and equipment is identified within the site specific risk assessment.</b></p>																		
<p><b>03.14 With regard to subcontractors' plant and equipment:</b></p> <ul style="list-style-type: none"> <li>Are appropriate certificates examined when first brought to site, inspected and filed?</li> <li>Is plant subjected to a daily inspection, which is recorded?</li> <li>Are plant operator competence records available?</li> <li>Is the use of such plant and equipment subject to risk assessment?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> </table>	3	N/A	N/A	N/A		<table border="1"> <tr><td>0 / 3</td><td>3</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> <tr><td>Y / N</td><td>N/A</td></tr> </table>	0 / 3	3	Y / N	N/A	Y / N	N/A	Y / N	N/A	Y / N	N/A	
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<p><b>Subcontractor is labour only - plant and equipment is provided by the company.</b></p>																		
<p><b>03.15 With regard to monitoring and measuring equipment:</b></p> <ul style="list-style-type: none"> <li>Is there a policy for calibrating monitoring and measuring equipment?</li> <li>Are calibrations carried out by a UKAS (or equivalent) accredited test house?</li> <li>Are certificates or notices of up-to-date calibrations or tests available on site equipment?</li> </ul>	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>2</td></tr> </table>	3	Y	2		<table border="1"> <tr><td>0 / 3</td><td></td></tr> <tr><td>Y / N</td><td></td></tr> <tr><td>0 / 2</td><td></td></tr> <tr><td>0 / 2</td><td>2</td></tr> </table>	0 / 3		Y / N		0 / 2		0 / 2	2				
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<p><b>Monitoring and measuring equipment register. Calibration certificates witnessed during the audit - Crowcon Tetra 3 / Serial W182507/00-14 next due 28.12.14, Gas Monitor Tetra 3 / Serial W202435/00-3 next due 27.02.15, Vernier Gauge / Serial 07232520 next due 19.02.15. Evogen Instrument Services: UKAS, UVDB and Safe Contractor approved.</b></p>																		



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## 03.16 Are COSHH assessments available, complete and effective?

- Do the assessments specifically link the material to its use within the job in-hand?
- Are substances and chemicals to be used and their related COSHH assessments specifically called up in Method Statements?
- Are assessments available on site to employees?
- Is the purchase of substances and chemicals by employees controlled?

3
Y
Y

0 / 3	3
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	N/A

Any substances and chemical required during the project works would be supplied by the controlling office.

## 03.17 Does the Company have a defined process for the control of all substances and chemicals it stores or uses at or near the work face?

2
---

0 / 2
-------

Is the process implemented at the site office and/or work face:

- Are substances and chemicals stored in secure areas?
- Is access controlled?
- Are records kept of issues and returns?
- Is usage fully accounted for?
- Are unwanted quantities and related waste appropriately disposed?
- Are inspections regularly undertaken?
- Are inspections and actions recorded?
- Is the process documented?

0 / 3	2
Y / N	Y
Y / N	Y
Y / N	N/A
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	N
Y / N	N

There is scope to define the procedures regarding Coshh and record the van inspections that are completed.

## 03.18 Does the Company provide free Personal Protective Equipment when risk assessments require it?

2
---

0 / 2
-------

## 03.19 How does the company manage PPE on-site:

- Are records kept of issue?
- Does recipient acknowledge issue?
- Is replacement PPE available on demand?
- Is a system in place to replace time dependent PPE?

Are personnel instructed in the use, maintenance and storage of their PPE?

0 / 3	0
Y / N	N
Y / N	N
Y / N	N
Y / N	N
0 / 2	2

The company are aware of the importance of issue and receipt documents regarding PPE and are implementing a procedure and forms to be communicated throughout the workforce. PPE Toolbox talks are available within the server files.

# Verify Category B2 Audit Report

**03.20 With respect to Fall-arrest equipment including Harnesses, does the company have a policy to undertake the following checks and inspections; is there evidence on-site that these are carried out?**

- 6-monthly detailed inspection?
- 3-monthly detailed inspection?
- Interim (more frequent) - to cater for arduous operating conditions?
- Are the inspections carried out by competent persons?
- Pre-use checks by users?
- Are records up-to-date?

3
N/A
N/A
N/A
N/A
N/A

0 / 3	3
Y / N	N/A
Y / N	N/A
Y / N	N/A
Y / N	N/A
Y / N	N/A
Y / N	N/A

Fall arrest Equipment is hired as required - ensuring all record of examination and inspection is issued from the hire company.

## Section 03. Health and Safety Hazards and Risk Identification and Control - Scores Summary

Score Achieved  
Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
52			43		
57			48		

## Section 03. Health and Safety Hazards and Risk Identification and Control - Executive Summary

### Management System Evaluation

The company utilise generic, site-specific and pre-task formats of risk assessment to identify activity-related hazards, evaluate associated risk and establish suitable control measures for mitigation. Defined arrangements reference the risk assessment process. The Contracts Manager completes reviews of risk assessments and example documents displayed valid notation and reference, as required. Method statements are developed on a task-specific basis, dependent on the nature and complexity of the required operations and activities. Defined policies for the maintenance of certain plant and equipment are in place and records retained as appropriate.

### Site Assessment:

The workforce utilise generic, site-specific and pre-task risk assessment formats to identify activity-related hazards, evaluate risk rating and establish suitable control measures prior to commencement of operations. Assessments are developed for each activity area within service delivery and control measures evident on site include controlled access, signage displayed and mandatory PPE for example. Task-specific method statements are used, as appropriate, for complex or high-risk activities. Plant and equipment is subject to regular examination, inspection and test and prominent labelling is evident to inform operators of validity and expiry dates. COSHH assessments and associated MSDS sheets are readily available to the workforce.

# Verify Category B2 Audit Report

## Section 04.00 Environmental Aspects and Impacts Identification and Control

**04.01 Does the organisation have a review of Aspects and Impacts associated with its activities products or services? Does the review consider:**

- Emissions to air?
- Releases to water?
- Waste management?
- Contamination of land?
- Use of raw materials and natural resources?
- Packaging?
- Social (noise, vibration, dust, odour, visual impact and lighting)?
- Ecology (flora and fauna)?
- Archaeology and cultural heritage ?

The company could benefit from compiling and aspects and impacts register.

**04.02 Is there a process for evaluating the significance of the environmental aspects and their associated Impacts? Does the process:**

- Identify products and services that are required to comply with legislation and/or codes of practice?
- Seek the views of stakeholders and interested parties?
- Evaluate aspects under normal, abnormal and emergency conditions?

**04.03 Are Risk Assessments undertaken for any Impacts identified as significant within the Aspects and Impacts review?**

- Are site specific risk assessments used?
- Are risk assessments signed and dated?
- Do risk assessments take into account human factors?
- Are those completing the evaluations suitably experienced?
- Are risk assessments recorded and reviewed at appropriate intervals?

Environmental issues are identified within the site specific risk assessment - witnessed during the audit

**04.04 Does the organisation have control measures to mitigate the risks identified in the above assessments?**

- Defined maintenance operations?
- Written operating procedures or instructions?
- Defined storage, handling and disposal procedures or instructions?
- Inspection regimes?
- Resulting emergency plans?

The company could benefit from defining the control measures within the management system manual.

	MSE				Site		
	H&S		Qual		H&S	Env	Qual
		0		0 / 5			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		0		0 / 4			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		5		0 / 5		5	
		Y		Y / N		Y	
		Y		Y / N		Y	
		Y		Y / N		Y	
		Y		Y / N		Y	
		Y		Y / N		Y	
		2		0 / 5			
		N/A		Y / N			
		Y		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			

# Verify Category B2 Audit Report

**04.05 Are the appropriate control measures incorporated within the organisation's method statements or equivalent such that:**

- Those affected are formally briefed and recorded as such?
- Understanding is assured?
- There is a process of receiving feedback from site operatives?
- The control measures are appropriate to the work on-site?

**A briefing meeting is completed with attendance from Engineers to ensure and understanding of all risks and associated control measures - signatures are retained to ensure an understanding.**

5	0 / 5	5
Y	Y / N	Y
Y	Y / N	Y
Y	Y / N	Y
	Y / N	Y

**04.06 Is there a process for the management of waste?**

- Is the process documented?
- Does the organisation satisfy itself that waste is dealt with properly and legally by the contracted carrier?

**Waste Carrier licence - WML/W/00205 D Martin - recycling waste.**

1	0 / 2
N	Y / N
Y	Y / N

**04.07 How does the organisation comply with the Environmental Protection (Duty of Care) Regulations 1991:**

- The organisation's waste is handled by a licensed waste carrier?
- Transfer notes are available that identify type, quantity, container, time and place of transfer?
- That transfer notes are retained for at least 2 years?
- The organisation holds a Waste Carrier Licence if appropriate?

**Waste Transfer notes are retained and logged by the Building Landlord and sister company H&I Engineering.**

1	0 / 3	1
Y	Y / N	N/A
Y	Y / N	N/A
N	Y / N	
N	Y / N	

**04.08 Is waste stored correctly on-site?**

- Waste streams are segregated?
- Hazardous waste is secured?
- Client's waste disposal facilities are used?

**The client provides waste facilities during any site works.**

3	0 / 3	3
Y	Y / N	Y
Y	Y / N	Y
Y	Y / N	Y

**04.09 Does the organisation hold any permits or consents for any IPPC processes or other relevant operations?**

N	Y / N
---	-------

**04.10 For materials in use or stored at the site office and/or work face:**

- Are hazardous substances stored in secure areas?
- Are measures in place to prevent contamination or pollution eg bunds?
- Are inspections regularly undertaken?
- Are inspections recorded?
- Are resulting actions closed out?

3	0 / 3	3
Y	Y / N	Y
N/A	Y / N	N/A
Y	Y / N	Y
N/A	Y / N	N/A
N/A	Y / N	N/A

## Section 04.00 Environmental Aspects and Impacts Identification and Control - Scores Summary

**Score Achieved**

**Total Potential Score**

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
	14			17	
	29			19	

# Verify Category B2 Audit Report

## Section 04.00 Environmental Aspects and Impacts Identification and Control - Executive Summary

### *Management System Evaluation*

The organisation could benefit from completing a review of aspects and impacts associated with its activities, including the use of materials and waste management, this would help to ensure that they have adequate control measures in place to mitigate the risks identified in the assessments. The company use a licensed waste carrier for the uplift and recycling of waste, provided by the Landlord.

### *Site Assessment*

Company operations are subject to a site-specific risk assessment process which considers activity-related environmental aspects. Staff are made aware of the company's approach to environmental minimisation and protection through awareness training and toolbox talk processes. Waste segregation is in place to promote recycling of goods and materials. The company uses licensed waste disposal service providers, as required although waste during site projects is minimal.

# Verify Category B2 Audit Report

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
<b>Section 05. Training and Competence for Employees and Subcontractors</b> <b>05.01 How are health and safety, environmental and quality competence requirements identified?</b> <ul style="list-style-type: none"> <li>Job descriptions / specifications</li> <li>Competency matrix</li> </ul> Other (specify if not adequately addressed in the above): <b>Further and Ongoing Training Certificates are identified within a spreadsheet - Confined Space, Pasma/ Scaffolding, First Aid, CSCS, IPAF, Scissor lifts, Boom, EUSR, Abrasive Wheels.</b>	2	2	2	0 / 2			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
<b>05.02 Are competencies adequately validated during the recruitment process:</b> <ul style="list-style-type: none"> <li>Authenticity of documents produced by candidates checked?</li> <li>Candidates are tested?</li> </ul> <b>The agency company provide validation of competencies and achievements.</b>	2	2	2	0 / 2			
	Y	Y	Y	Y / N			
	N/A	N/A	N/A	Y / N			
<b>05.03 Are training needs at all levels identified by:</b> <ul style="list-style-type: none"> <li>Job descriptions/ competence matrix and personnel records?</li> <li>Training needs analysis with employees?</li> <li>Manager recommendation?</li> <li>Risk assessments?</li> </ul> <b>Training is identified within the client specification, annual refresher training and informal discussion with management.</b>	2	2	2	0 / 3			
	Y	Y	Y	Y / N			
	N	N	N	Y / N			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
<b>05.04 Is a training plan developed with which the organisation can properly resource its training needs?</b> <b>Refresher training is identified within the Training spreadsheet but the company could benefit from creating an annual training plan.</b>	0	0	0	0 / 2			
<b>05.05 What training resources are provided:</b> <ul style="list-style-type: none"> <li>New training?</li> <li>Refresher training?</li> <li>In-house training is provided?</li> <li>External Training by accredited training agencies is provided?</li> <li>Continuing Professional Development is provided or encouraged for professionally qualified staff?</li> </ul>	5	5	5	0 / 5			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
<b>05.06 What competence and ability records are maintained:</b> <ul style="list-style-type: none"> <li>Employee's qualifications, training and experience?</li> <li>Employees physical/mental abilities/disabilities?</li> </ul> <b>The company have recently identified the need to record any physical or mental disabilities/ abilities are currently defining a procedure to complete this task.</b>	2	3	2	0 / 3	2	3	2
	Y	Y	Y	Y / N	Y	Y	Y
	N		N	Y / N	N		N

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**05.07 Below, for each level in the organisation, indicate the percentage of personnel that has passed a health and safety assessment (eg NEBOSH Construction Certificate, skills touch screen test as appropriate):**

Director:	0	0 / 3	
Senior Manager:	0	0 / 3	
Manager:	3	0 / 3	3

**100% CSCS Edward Woodman- #CITB001154096 CITB Health and Safety and Environmental Test.**

Supervisor / Team Leader:	3	0 / 3	3
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**Engineers and Operatives working on water treatment sites are required to have completed CSCS or EUSR equivalent as well as site induction**

**05.08 Has at least Environmental Awareness Training been provided at the following levels?**

• Director / Senior Manager	4	0 / 5	
• Manager	N	Y / N	
• Supervisor / Team Leader	Y	Y / N	
• Craftsman / Operative	Y	Y / N	

**The CSCS/ CITB Assessment addresses environmental awareness.**

**05.09 Does the person identified with site responsibilities have suitable qualifications and experience for the position?**

• Construction Skills CITB Site Management Safety Training Scheme or equivalent?		0 / 3	2	2	2
• 5 day IOSH Managing Safety Course?		Y / N	Y		
		Y / N	N		

**The company could benefit from providing the Contracts Manager with an IOSH Managing safety or equivalent course.**

**05.10 For craftsmen / operatives and others who go to site, does training include:**

• Emergency first aid?	3	0 / 3	3
• Emergency Plans?	Y	Y / N	Y
• Manual handling?	Y	Y / N	Y
• COSHH requirements?	Y	Y / N	Y
• Plant and equipment operation?	Y	Y / N	Y
• Personal risk assessment?	Y	Y / N	Y
• Accident/incident/near miss reporting?	Y	Y / N	Y

Other (specify if not adequately addressed in the above):

<b>05.11 Indicate below the approximate number of professionally qualified health and safety staff in the organisation; eg CMIOSH, CDM Co-ordinators Register, ICE Construction Health and Safety Register etc):</b>	0	0 / 3	
--	---	-------	--

<b>05.12 Indicate below the approximate number of professionally qualified environmental staff in the organisation, and what their qualifications are:</b>	0	0 / 3	
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# Verify Category B2 Audit Report

<p><b>05.13 Are post training reviews carried out?</b>  <b>The company could benefit from introducing post raining reviews.</b></p>	0	0	0 / 2																	
<p><b>05.14 Have personnel whose work may create a significant impact on the environment received appropriate training? For instance on:</b></p> <ul style="list-style-type: none"> <li>The requirements of the environmental management system?</li> <li>The significant environmental impacts of their work activities?</li> <li>The consequences of departure from specified operating procedures?</li> <li>Pollution prevention?</li> <li>Noise and dust suppression requirements?</li> <li>Waste minimisation, control and disposal?</li> <li>Emergency plans?</li> <li>Accident and Incident reporting?</li> </ul> <p>Other (specify if not adequately addressed in the above):  <b>Environmental aspects and impacts associated with service delivery are identified within the risk assessment and method statement.</b></p>	3	<table border="1"> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	N	N	N	Y	Y	Y	Y	Y	0 / 5 Y / N Y / N Y / N Y / N Y / N Y / N Y / N	<table border="1"> <tr><td>3</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>N</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	N	N	N	Y	Y	Y	Y
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Y																				
<p><b>05.15 Does company policy require induction training with health and safety and environmental content:</b></p> <ul style="list-style-type: none"> <li>For redeployed personnel?</li> <li>For new starters?</li> <li>When new sites are established?</li> <li>When new procedures or processes are introduced?</li> </ul> <p><b>Induction records witnessed during the audit: Mr R Taggart 6.10.14, Mr P Walker 17.11.14, Mr C McGlasson 17.11.14</b></p>	<table border="1"> <tr><td>2</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	2	Y	Y	Y	Y	<table border="1"> <tr><td>2</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	2	Y	Y	Y	Y	0 / 3 Y / N Y / N Y / N Y / N							
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Y																				
Y																				
Y																				
Y																				
2																				
Y																				
Y																				
Y																				
Y																				
<p><b>05.16 What evidence exists that such induction training is undertaken:</b></p> <ul style="list-style-type: none"> <li>Plans/packs/booklets?</li> <li>Checklists?</li> <li>Records?</li> </ul> <p><b>Induction checklist witnessed during the audit.</b></p>	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	Y	Y	Y	<table border="1"> <tr><td>3</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> <tr><td>Y</td></tr> </table>	3	Y	Y	Y	0 / 3 Y / N Y / N Y / N									
3																				
Y																				
Y																				
Y																				
3																				
Y																				
Y																				
Y																				
<p><b>05.17 Is there evidence that site specific induction take place at remote work sites:</b></p> <ul style="list-style-type: none"> <li>Are records available detailing attendees and content?</li> <li>Are the persons providing the induction competent?</li> <li>Is this in addition to induction provided by clients?</li> </ul> <p><b>Company induction is completed at the controlling office prior to arrival at any site works.</b></p>			0 / 3 Y / N Y / N Y / N	<table border="1"> <tr><td>3</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> </table> <table border="1"> <tr><td>3</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> <tr><td>N/A</td></tr> </table>	3	N/A	N/A	N/A	3	N/A	N/A	N/A								
3																				
N/A																				
N/A																				
N/A																				
3																				
N/A																				
N/A																				
N/A																				



# Verify Category B2 Audit Report

## 05.18 When sub-contractors used:

Is there evidence of pre-contract sub-contractor health and safety competence assurance by means of:

- Questionnaires and review of the responses?
- Assessments and associated records?
- Historical accident / incident and near miss performance?
- Review of the arrangements sub-contractors have for appointing their subcontractors or consultants ?
- From the comprehensiveness and relevance of their impacts and aspects register?
- From examples of their risk assessments and emergency procedures?
- From their awareness of their legal obligations and those of the client?
- From their willingness to attend training and awareness sessions?
- Records (training, experience, qualifications etc)?
- References?
- Track record?

3	3
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A

Y / N  
**0 / 4**  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N  
 Y / N

Other (specify if not adequately addressed in the above):

**Although there id defined procedures in place for the use of Subcontractors, the company use labour only via an agency.**

## 05.19 Is subcontractor ability to comply with legislative, the company's and the client's requirements established prior to contract? Is this facilitated by:

- Provision of company standards?
- Provision of client's standards?
- Pre-contract meeting with prospective subcontractors?
- By provision of safety critical information?

3
N/A
N/A
N/A
N/A

**0 / 3**  
 Y / N  
 Y / N  
 Y / N  
 Y / N

Other? Detail below:

## 05.20 For subcontractors on site, are they treated the same as employees in that:

- Their records of competencies and abilities are held in the site office?
- They are subject to the company site induction?
- They are included in local training schemes?
- Their performance is monitored?

**0 / 3**  
 Y / N  
 Y / N  
 Y / N  
 Y / N

3	3
N/A	N/A
N/A	N/A
N/A	N/A
N/A	N/A

## 05.21 How are the competencies of agency staff assured?

- Full integration into company systems?
- Formal checks on claimed qualifications?
- References required and taken up?
- Based on track record?

3
Y
Y
Y
Y

**0 / 3**  
 Y / N  
 Y / N  
 Y / N  
 Y / N

3
Y
Y
Y
Y

**A team of agency staff are utilised as required. Competencies are verified and recorded within the site project files, a full staff induction is completed and records retained appropriately.**

# Verify Category B2 Audit Report

## 05.22 How are the competencies for designers (if used) whether staff or contract assured

- Formal checks on claimed qualifications?
- Examples of previous work examined by a competent design assessor?
- Design output is independently reviewed?
- Contract designers integrated into company systems?

Other:

3	0 / 3
N/A	Y / N
N/A	Y / N
N/A	Y / N
N/A	Y / N

## Section 05. Training and Competence for Employees and Subcontractors - Scores Summary

**Score Achieved**

**Total Potential Score**

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
33	29	19	19	14	7
50	42	23	21	17	9

## Section 05. Training and Competence for Employees and Subcontractors - Executive Summary

### Management System Evaluation

Health and safety competencies are identified through job descriptions, work requirements and a competencies matrix. The company has a training matrix to identify existing competencies and potential training needs of all employees. Appropriate, adequate training is provided to ensure that employees meet the requirements of the company's standards and requirements. The company provide new, refresher and induction training with health and safety and quality system content for all new employees. Employees receive training in first aid, manual handling and COSHH.

### Site Assessment

Site-based staff are included in the company's training matrix to identify the existing competencies, role requirements and potential training needs of the workforce. Induction and Training Record forms are completed for each employee regarding site specific issues. A robust employee assessment process is in place to monitor the site competency of the workforce who are required to maintain competencies whilst operational. Staff are made aware of activity-related environmental aspects during the company induction process and Toolbox talks are regularly completed.

# Verify Category B2 Audit Report

## Section 06. Consultation, Communication and Provision of Information

**06.01 Does the company have a Safety Committee or other formal consultation arrangements?**

- Are minutes available?
- Are actions followed through to completion?
- Are the names of the safety representatives prominently published ?
- Are safety representatives allowed time off to undertake their duties?

Defined within the health and safety manual section C10 - Consultation with Employees

**06.02 Does the organisation have formal consultation arrangements with staff on environmental issues?**

- Are minutes available?
- Are actions followed through to completion?

Bulletins and safety notices are received and communicated throughout the business on an informal basis, the company could benefit from formally recording this procedure and retaining minutes of meetings.

**06.03 How is two-way communication achieved:**

- Safety representatives?
- Questionnaires?
- Suggestion Scheme?
- Toolbox Talks, Team briefings or similar?
- Mentoring or coaching schemes?
- Department meetings?
- Email?
- Conferences?

Other (specify if not adequately addressed in the above):

**06.04 Are third parties and subcontractors integrated into the company's communication system by participating in:**

- Questionnaires?
- Suggestion Scheme?
- Toolbox Talks, team briefing or similar?
- Email?
- Intranet?

Other (specify differences below):

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
2				0 / 3	2		
N				Y / N	N		
Y				Y / N	Y		
Y				Y / N	Y		
Y				Y / N	Y		
		2		0 / 3		2	
		N		Y / N		N	
		Y		Y / N		Y	
1	2	2	0 / 3	1	2	2	
N			Y / N	N			
N	N	N	Y / N	N	N	N	
Y	Y	Y	Y / N	Y	Y	Y	
Y	Y	Y	Y / N	Y	Y	Y	
		Y	Y / N			Y	
Y	Y	Y	Y / N	Y	Y	Y	
Y	Y	Y	Y / N	Y	Y	Y	
N/A	N/A	N/A	Y / N				
3	3	0 / 3	3	3			
N/A	N/A	Y / N	N/A	N/A			
N/A	N/A	Y / N	N/A	N/A			
N/A	N/A	Y / N	N/A	N/A			
N/A	N/A	Y / N	N/A	N/A			
N/A	N/A	Y / N	N/A	N/A			

# Verify Category B2 Audit Report

## 06.05 How are staff made aware of policy and procedure changes:

- Issue of new policy / procedure document, personal booklet or letter?
- Training (other than induction training)?
- Toolbox talks, team briefing or similar?
- Notice board/Intranet - eg bulletins?
- Email?

Other (specify if not adequately addressed in the above):

3	3		0 / 3	3	3
Y	Y		Y / N	Y	Y
Y	Y		Y / N	Y	Y
Y	Y		Y / N	Y	Y
Y	Y		Y / N	Y	Y
Y	Y		Y / N	Y	Y

Are employees required to confirm receipt of policy/procedure change information?

0 / 1    1    1

## 06.06 Does the company also provide other information (in addition to risk assessments) to staff via:

- Hint cards?
- Bulletins or alerts?
- Posters?
- HASAWA Law Poster?
- Company standards, specifications, manuals, handbooks, guidance notes?
- Drawings?
- Procedures, work instructions or similar?
- Method statements?
- Toolbox Talks?
- Intranet?
- Induction training?
- Training in addition to Induction?
- Films/video?
- Company magazines?

Indicate below any differences for subcontractors or other 3rd parties:

2	2	2	0 / 3	2	2	2
N			Y / N	N		
Y	Y	Y	Y / N	Y	Y	
Y	Y		Y / N	Y	Y	
Y			Y / N	Y		
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N	Y	Y	Y
Y	Y		Y / N	Y	Y	
Y	Y		Y / N	Y	Y	
N	N	N	Y / N	N	N	N
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N	Y	Y	Y
N	N		Y / N	N	N	
N	N	N	Y / N	N	N	N

## 06.07 Is adequate health and safety information provided to subcontractors before the works:

- Details of hazards and associated risk controls?
- Pre-construction information?
- Interfaces/cooperation with others?
- Client's Requirements?
- PPE Requirements?
- Company Requirements?

Other (specify if not adequately addressed in the above):

**Subcontractors are labour only agency staff**

3	0 / 3
Y	Y / N
Y	Y / N
Y	Y / N
Y	Y / N
Y	Y / N
Y	Y / N

## 06.08 Is there clear evidence that CDM Co-ordinators encourage co-operation, co-ordination and communication between designers? (Give details below):

N/A

3    0 / 3

# Verify Category B2 Audit Report

<b>06.09 Are workers who are not fluent in the local language fully integrated into the communication and consultation processes by:</b>	3	0 / 3	3
<ul style="list-style-type: none"> <li>Ensuring a bilingual member in each gang or team?</li> <li>Use of multilingual safety critical documents and signs?</li> <li>Provision of multilingual training where necessary?</li> <li>Use of subtitles or multilingual tracks on induction videos etc?</li> <li>Extensive use of pictograms?</li> </ul>	N/A	Y / N	N/A
	N/A	Y / N	N/A
	N/A	Y / N	N/A
	N/A	Y / N	N/A
	N/A	Y / N	N/A
Other (detail below):			
Are similar facilities provided for visitors and delivery drivers who are not fluent in the local language?	2	0 / 2	2
<b>06.10 Is there a procedure in place for receiving, documenting and responding to communications from external interested parties in relation to the environment (eg Customers, clients, members of the public, pressure groups etc.) Is the procedure implemented on-site?</b>	2	0 / 2	2
<b>06.11 On what occasions are the local enforcement authorities, or others, consulted about on-site activities in relation to the environment? Give details:</b>	3	0 / 3	
N/A			
Have the appropriate consultations taken place for site?		0 / 3	3
N/A			
Have actions resulted from such consultations?	3	0 / 3	3
<ul style="list-style-type: none"> <li>Have suitable plans been produced?</li> <li>Are all actions complete to date?</li> </ul>	N/A	Y / N	N/A
	N/A	Y / N	N/A

## Section 06. Consultation, Communication and Provision of Information - Scores Summary

**Score Achieved**  
**Total Potential Score**

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
22	20	4	17	21	4
26	23	6	21	24	6

# Verify Category B2 Audit Report

## Section 06. Consultation, Communication and Provision of Information - Executive Summary

### *Management System Evaluation*

The company promote effective consultation with the workforce through regular, informal meeting arrangements. Health and Safety meetings are held on a regular basis to enable two-way communication to be achieved. The company facilitates two-way communication through use of a suggestion scheme, team briefings, informal and formal meetings, e-mail and coaching schemes. Quality information is provided via Project Instructions which include bulletins and alerts, suitable levels of training and defined procedures.

### *Site Assessment*

Two-way communication on health and safety issues is achieved through daily briefings, toolbox talks, informal daily dialogue, client liaison and site meetings. Staff are able to participate in regular HSEQ meetings. Health and safety information is disseminated using handbooks, guidance notes, bulletins and alerts, posters, method statements and suitable training provision.

# Verify Category B2 Audit Report

## Section 07.00 Accident, Incident, Near Miss and Enforcement Action Performance

07.01 Performance data when entered is valid on the MSE Audit date.

07.02 Table 1 - Health and Safety Accidents and Incidents Statistics.

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
(B1) Specified/Major Injuries (As defined by RIDDOR)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(B2) Deaths	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(C1) Dangerous Occurrences (As defined by RIDDOR)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(C2) Reportable cases of ill health (As defined by RIDDOR)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(D) Over Three Day Lost Time Accidents (As defined by RIDDOR)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(E) Other Lost Time Accidents (3 days or less)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(F) First Aid Incidents (No lost time)	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			
(G) Hazard/Near Miss Reports	0			This year			
	0			Last year			
	0			2 yrs ago			
	0			3 yrs ago			

# Verify Category B2 Audit Report

## 07.03 Table 2 - Health and Safety Prosecutions and Enforcement Notices

(I) Prosecutions or pending prosecutions

0
0
0
0

*This year*  
*Last year*  
*2 yrs ago*  
*3 yrs ago*

(J) Prohibition notices

0
0
0
0
0
0

*This year*  
*Last year*  
*2 yrs ago*  
*3 yrs ago*  
*4 yrs ago*  
*5yrs ago*

(K) Improvement Notices

0
0
0
0
0
0

*This year*  
*Last year*  
*2 yrs ago*  
*3 yrs ago*  
*4 yrs ago*  
*5 yrs ago*

(L) Warning letters from an Enforcement Authority

0
0
0
0
0
0

*This year*  
*Last year*  
*2 yrs ago*  
*3 yrs ago*  
*4 yrs ago*  
*5 yrs ago*

### 07.04 Accident; Performance based on Table 1 above:

- No accidents to report (score 2).
- Improving Performance (Score -1 to 0).
- Generally level Performance (Score -2 to -3).
- Deteriorating Performance (Score -5 or -4).
- No statistics collected (Score -5).

2
Y
N/A
N/A
N/A
N/A

**-5 / 2**  
*Y / N/A*  
*Y / N/A*  
*Y / N/A*  
*Y / N/A*  
*Y / N/A*

### 07.05 Hazard / near miss reporting and follow-up performance, based on item G in Table 1 above:

- A developing ethos with evidence of follow-up.
- Sporadic reporting and occasional follow-up.
- Minimal reporting with no follow-up, or no reporting. (Score 0)

3
Y
N/A
N/A

**0 / 3**  
*Y / N/A*  
*Y / N/A*  
*Y / N/A*

safety Sampling program is in use and near misses are recorded and closed off within the sampling record ( signed off by the Managing Director ) Identified with October 2014:- Extension cables , Trip hazards, Spillage in workshop, metal waste not correctly stored and litter.



# Verify Category B2 Audit Report

## 07.06 What is the health and safety accident performance on site:

- No accidents to report (score 2).
  - Accidents reported
- What is the near miss reporting performance on site:
- Near miss reporting system in use ?
- Details of arisings on site:

-3 / 2	2
Y / N/A	Y
Y / N/A	N/A
0 / 2	2
Y / N	Y

## 07.07 Health and Safety Enforcement Performance based on Table 2 above:

- Prosecutions or pending prosecutions?
  - Prohibition Notices?
  - Improvement/Warning Notices?
  - Evidence of actions taken to put matters right?
- Give details including dates of occurrences below:

0
0
0
N/A

-3 / 0	0
-5 / 0	0
-5 / 0	0
Y / N	N/A

## 07.08 Table 3 - Environmental Accidents and Incidents

(A) Environmental Accidents  
(where actual harm has been caused to the environment)

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

(B) Environmental Incidents  
(Where there was clear potential to cause harm to the environment, but was avoided by quick reaction etc)

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

## 07.09 Table 4 - Environmental Enforcement Notices and Prosecutions

(C) Prosecutions or pending prosecutions

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

(D) Environmental Enforcement Notices

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

(E) Abatement Notices

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

(F) Warning letters from an Enforcement Authority

0
0
0
0

This year  
Last year  
2 yrs ago  
3 yrs ago

# Verify Category B2 Audit Report

## 07.10 Environmental accident performance based on Item A of Table 3 above:

- No accidents to report (score 2).
- Improving Performance (Score -1 to 0).
- Generally level Performance (Score -2 to -3).
- Deteriorating Performance (Score -5 or -4).
- No statistics collected (Score -5).

2
Y
N/A
N/A
N/A
N/A

-5 / 2  
Y / N/A  
Y / N/A  
Y / N/A  
Y / N/A  
Y / N/A

## 07.11 Environmental incident reporting and follow-up performance based on Item B of Table 3:

- A developing ethos with evidence of follow-up.
- Sporadic reporting and occasional follow-up.
- Minimal reporting with no follow-up, or no reporting. (Score 0)

3
Y
N/A
N/A

0 / 3  
Y / N/A  
Y / N/A  
Y / N/A

## 07.12 What is the environmental accident performance on site:

- No accidents to report (score 2).
- Accidents reported.

2
Y
N/A

-3 / 2  
Y / N/A  
Y / N/A

2
Y
N/A

## 07.13 What is the environmental incident reporting performance on site:

- Incident reporting system in use?

Details of arisings on site:

2
Y

0 / 2  
Y / N

2
Y

## 07.14 Environment enforcement performance based on Table 4 above:

- Prosecutions or pending prosecutions?
- Environmental Enforcement Notices?
- Abatement Notices/Warning Notices?
- Evidence of actions taken to put matters right?

Give details including dates of occurrences below:

0
0
0
N/A

-3 / 0  
-3 / 0  
-3 / 0  
Y / N

0
0
0
N/A

## 07.15 Are there documented procedures available for reporting and investigating:

- Health and Safety Accidents and Dangerous Occurrences?
- Health and Safety Near Misses?

Are the requirements of RIDDOR adequately addressed for accidents and dangerous occurrences reporting?

Defined within the Management system manual.

3
Y
Y
2

0 / 3  
Y / N  
Y / N  
0 / 2

Are such procedures available and in-use on-site?

The client may define accident and incident reporting procedures to be followed at all times during site works.

3
Y
Y

0 / 3

3
---

## 07.16 Are there documented procedures available for reporting and investigating:

- Environmental accidents?
- Environmental incidents?

Are such procedures available and in-use on-site?

3
Y
Y

0 / 3  
Y / N  
Y / N

2
---

# Verify Category B2 Audit Report

## 07.17 With regard to investigations and investigation reports:

- Is somebody made responsible for investigations?
- Are investigations completed for each event?
- Are reports produced?

4	4	0 / 4	4	4
Y	Y	Y / N	Y	Y
Y	Y	Y / N	Y	Y
Y	Y	Y / N	Y	Y

## 07.18 Do reports record:

- Time, date, location?
- Person(s) involved?
- Injury/damage/loss sustained?
- Signature of investigator?

2	2	0 / 2		
Y	Y	Y / N		
Y	Y	Y / N		
Y	Y	Y / N		
Y	Y	Y / N		

## 07.19 Do reports identify:

- What human factors have been considered?
- Root causes?
- Identify actions to be taken to prevent recurrence?

5	5	0 / 5	5	5
Y	Y	Y / N	Y	Y
Y	Y	Y / N	Y	Y
Y	Y	Y / N	Y	Y

## 07.20 Are report actions assigned appropriately and with a time scale?

- Is a process in place to monitor implementation and close out?
- Have procedures been amended or introduced as part of the measures to prevent recurrence?

4	4	0 / 4	4	4
Y	Y	Y / N	Y	Y
N/A	N/A	Y / N	N/A	N/A

There have been no accidents or incidents to date that required investigation, the reporting procedure and associated forms were discussed and reviewed during the audit.

## Section 07.00 Accident, Incident, Near Miss and Enforcement Action Performance - Scores Summary

Score Achieved

Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
25	23		20	19	
25	23		20	19	

# Verify Category B2 Audit Report

## Section 07.00 Accident, Incident, Near Miss and Enforcement Action Performance - Executive Summary

### *Management System Evaluation*

Suitable arrangements are in place to enable the prompt reporting of accidents, incidents and near misses which may occur during company activities. Defined accident reporting procedures are in place and communicated to the workforce. Provision to escalate information to senior management and local enforcing authorities, as appropriate, is also made. The subsequent investigation of reported events is undertaken by the Contracts Manager using dedicated documentation to record relevant information and details. The process includes the identification of contributory factors, human factors, root causation and remedial action to prevent recurrence. The close-out of identified actions is achieved via local discussion, management hierarchy, client liaison, employee involvement and consultation meeting and management review processes, as appropriate.

### *Site Assessment*

The workforce are made aware of the company's requirements regarding the prompt reporting of accidents, incidents and near misses which may occur during site operations. The Contracts Manager undertakes subsequent investigation of any reported events with workforce involvement and use of dedicated documentation to record relevant information. There have been no reported incidents or accidents on site to date.

# Verify Category B2 Audit Report

## Section 08. Monitoring and Measuring Performance

**08.01 Does the company monitor and measure performance proactively; ie in addition to accident and near miss records:**

- Are the results analysed?
- Are performance indicators produced?
- Are targets set?

Who is responsible for this activity:

The company does not currently monitor and measure health and safety performance, as a small business with only 3 employees and no recorded accidents or incidents to date it could be deemed unnecessary at this time.

**08.02 Does the organisation monitor and measure performance proactively; ie in addition to accident and incident records?**

What is monitored or measured? Who is responsible:

The company currently does no environmental monitoring or measuring.

**08.03 What criteria does the organisation use for setting Environmental Objectives and Targets?**

- Legislation/codes of practice?
- The organisation's most significant Aspects and Impacts?
- The organisation's Environmental Policy?
- The views of interested parties?

Other:

The company could benefit from compiling and communication environmental targets and objectives although this task could be difficult as the energy usage is provided within the rent and no data is provided. There is one company vehicle and journeys are managed to minimise fuel use.

**08.04 Are Environmental Performance Indicators (EPIs) produced? Are they:**

- Quantifiable?
- Comparable with industry standards?
- Normalised – eg tonnes of CO2 emitted per employee?
- Do the EPIs reasonably represent the activities of the organisation?

**08.05 Are senior management tours completed?**

- Are they recorded?
- Is a programme available for tours ?

Safety Sampling is carried out approx. 4-5 per year and a dedicated checklist / form is in place. Witnessed during the audit: Castle Douglas, Scottish Water.

MSE				Site		
H&S	Env	Qual		H&S	Env	Qual
0			0 / 3	0		
N			Y / N	N		
N			Y / N	N		
N			Y / N	N		
	0		0 / 3		0	
	0		0 / 3			
	N		Y / N			
	N		Y / N			
	N		Y / N			
	N		Y / N			
	0		0 / 4		0	
	N		Y / N		N	
	N		Y / N		N	
	N		Y / N		N	
	N		Y / N		N	
2	2		0 / 3	2	2	
Y	Y		Y / N	Y	Y	
N	N		Y / N			

# Verify Category B2 Audit Report

## 08.06 With regard to inspections:

- Are they recorded?
- Is a programme available for inspections?
- Are inspectors competence assured?
- Regular inspections by the site manager?

3	3
Y	Y
N	N
Y	Y

0 / 4	3	3
Y / N	Y	Y
Y / N	N	N
Y / N	Y	Y
Y / N	Y	Y

The Contracts Manager has over 40 years work experience within the Engineering Industry.

## 08.07 Is there a mechanism for closing out actions?

- Does evidence exist that tour/inspection actions are closed out?

4	4
Y	Y

0 / 4	4	4
Y / N	Y	Y

## 08.08 Are sub-contractors subject to the same regime?

- Is it a contractual requirement?
- Is there evidence on site?

3	3
N/A	N/A

0 / 3	3	3
Y / N		
Y / N	N/A	N/A

## 08.09 What methods of monitoring or measuring quality performance are used:

- Review of customer complaints?
- Review of other customer feedback?
- Review of key performance indicators?
- Setting of targets?
- Review of audits?
- Review of preventive and corrective action requests?
- Review of delivery performance statistics?
- Review of inspection and test failure rates?
- Review of rework?

5
Y
Y
Y
Y
Y
Y
Y
Y
Y

0 / 5
Y / N
Y / N
Y / N
Y / N
Y / N
Y / N
Y / N
Y / N
Y / N

5
Y
Y
Y
Y

Bentley Limited - Subcontractor performance award 2014 ref: SPA13/DB/AAC. Customer complaint full investigation through to close out 03.10.14 ( 14/13 )Customer Focus Forms: Rena Technology, 2013 - Excellent, Balfour Beatty 2013 - Excellent, Veolia Water, 2013 - Excellent. CQS Annual audit report is reviewed by senior management annually.

## 08.10 How does the company monitor the performance of its supply chain:

- Delivery performance of sub-suppliers and subcontractors?
- Reviews results of inspections on goods inwards?
- Service and support levels?
- Speed of resolution of problems?

3
Y
Y
Y
Y

0 / 3
Y / N
Y / N
Y / N
Y / N

Supplier questionnaires are issued to determine status of quality systems. No- conformance issued to Thomas Graham 01.09.14, closed out although continual monitoring of supplies will be done.

## 08.11 How is the performance of the design team (if applicable) monitored:

- That critical quality attributes are satisfied by the design?
- That designs meet the customer requirements?
- Design output is reviewed by a competent assessor?

3
N/A
N/A
N/A

0 / 3
Y / N
Y / N
Y / N

# Verify Category B2 Audit Report

## Section 08. Monitoring and Measuring Performance - Scores Summary

*Score Achieved*

*Total Potential Score*

MSE		
H&S	Env	Qual
12	12	11
17	24	11

Site		
H&S	Env	Qual
12	12	5
17	21	5

## Section 08. Monitoring and Measuring Performance - Executive Summary

### Management System Evaluation

The monitoring of health and safety, environmental and quality performance is the responsibility of the Contracts Manager who utilises inspection /audit regime information to identify performance indicators and set targets. Senior management are involved in the inspection process on a regular basis. A monthly H&S Inspection is undertaken and covers each area of the facility including the office, workshop, and welfare facilities. Quality objectives and targets are established using legislative compliance, company policy, views of interested parties and activity-related significant aspects.

### Site Assessment

Site activities are subject to an inspection / audit regime, undertaken by the Contracts Manager using dedicated documentation to record related information, including environmental issues, as identified. The internal inspections / audits are programmed across each operation and resultant information and findings are analysed to identify potential areas of improvement. The quality performance within the facility is monitored through the use of key performance indicators, customer feedback information, customer complaint resolution, non-conformance reporting and formal inspection regimes on a monthly basis.

# Verify Category B2 Audit Report

Section 09. Audit and Management Review	MSE			0 / 1	Site		
	H&S	Env	Qual		H&S	Env	Qual
<b>09.01 Are audits/reviews of the management system conducted in addition to Verify Assessments?</b> A program of internal audits was witnessed during the audit. Ref 09.01.14. Internal Quality Audit reports witnessed include:- 19.06.14, 15.05.14, 08.05.14, 01.05.14, 10.07.14.	1	1	1	0 / 1			
<b>09.02 Are the audits to a recognised scheme:</b> <ul style="list-style-type: none"> <li>ISRS?</li> <li>RoSPA QSA?</li> <li>OHSAS 18001?</li> <li>British Safety Council?</li> <li>ISO 14001</li> <li>EMAS</li> <li>BS8555</li> <li>ISO 9001</li> <li>ISO/IEC 17025</li> </ul> Is the frequency of audit annually or more frequent? 20th November 2014 - CQS report #GB2003069.	0	0	3	0 / 3			
	N			Y / N			
	N			Y / N			
	N			Y / N			
	N			Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
			Y	Y / N			
			N	Y / N			
	0	0	1	0 / 2			
<b>09.03 With regard to the auditors:</b> <ul style="list-style-type: none"> <li>Are they external?</li> <li>Are they internal?</li> <li>If they are internal, are they independent of operations?</li> <li>Are they competence assured?</li> </ul> The company could benefit from formalising the internal quality audits to include aspects of BS OHSAS 18001:2007 and ISO 14001:2004.	1	1	3	0 / 3			
	Y	Y	Y	Y / N			
	N	N	Y	Y / N			
	N	N	Y	Y / N			
	N	N	Y	Y / N			
<b>09.04 Who is responsible for the audit programme and reviewing the output?</b> Detail below: <ul style="list-style-type: none"> <li>Does he/she have standing and authority in the company?</li> <li>Does that person hold adequate competencies? Detail below:</li> </ul> Internal Audit training by Bywater - over 30 years experience	2	2	2	0 / 2			
	Y	Y	Y	Y / N			
	Y	Y	Y	Y / N			
<b>09.05 Are reviews of audits carried out and are they effective?</b> <ul style="list-style-type: none"> <li>Do they generate corrective and improvement plans?</li> <li>Is evidence available for the implementation of the plans?</li> </ul> The company do have plans to review the UVDB verify report and did create an action plan throughout the audit process.	3	3	5	0 / 5			
	Y	Y	Y	Y / N			
	N	N	Y	Y / N			



# Verify Category B2 Audit Report

## 09.06 Is there a senior management review process?

- Is there a review of the Policy to ensure continuing adequacy and effectiveness?
- Are results from audits and other monitoring activities included?
- Is the progress in meeting objectives and targets included?
- Is consideration given to employee consultation?
- Are appropriate observations, conclusions and recommendations documented?
- Are reviews carried out at least annually?

5	5	5	<b>0 / 5</b>
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N
Y	Y	Y	Y / N

Management Review meetings are circulated throughout the staff and actions are clearly identified.

## Section 09. Audit and Management Review - Scores Summary

Score Achieved  
Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
12	12	20			
21	21	21			

## Section 09. Audit and Management Review - Executive Summary

### Management System Evaluation

The company undertake internal management reviews on an annual basis to ensure continuing suitability, adequacy and effectiveness of the health and safety management system and to evaluate the need for change including policy and objectives. Formal minutes of reviews are taken and adhere to a defined Management Review procedure. Example minutes from a recent Management Review Meeting were produced.

# Verify Category B2 Audit Report

## Section 10. Emergency Plans

**10.01 Does the company have a system for defining and generating emergency response plans for activities undertaken?**

- Is the system documented?

**Emergency procedures are defined within the health and safety management system. There is scope to formalise and define the spill procedure that is currently in place.**

**10.02 Do the resulting plans cover the following aspects as appropriate to the activities?**

- Fire?
- Fire water run-off?
- Evacuation from an elevated location?
- Evacuation from a confined space?
- Explosion?
- Discovery of unexploded ordnance?
- Flood or immersion in deep water or slurries?
- Flood?
- Serious injury?
- Release of large quantities of flammable or otherwise hazardous material?
- Chemical Spill?
- Contamination by hazardous materials?
- Unintended structural collapse during or resulting from demolition?
- Means of communication?
- Accounting for personnel involved?
- Discharge?
- Pollution prevention/control?
- Notification of the emergency services?
- Identification of location?
- Compliance with the Client's system

Other (specify if not adequately addressed in the above):

**During site activities the clients emergency procedures are followed at all times, with exception of any confined space procedures which are clearly defined within the risk assessment and method statement documents. The controlling office have emergency procedures in place and defined by the sister company and landlord ( sharing a building )**

**10.03 Responsibilities in emergency situations:**

- Are they clearly assigned and communicated?

**10.04 Review and revision of the Emergency Response Planning system:**

- Reviewed at least annually and revised accordingly?
- Reviewed following the occurrence of an accident or incident and revised accordingly?

**Emergency Fire evacuation is reviewed annually and results of the evacuation drill are analysed.**

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
10.01 Does the company have a system for defining and generating emergency response plans for activities undertaken?	2	1		0 / 2			
• Is the system documented?	Y	N		Y / N			
<b>Emergency procedures are defined within the health and safety management system. There is scope to formalise and define the spill procedure that is currently in place.</b>							
10.02 Do the resulting plans cover the following aspects as appropriate to the activities?	5	5		0 / 5	5	5	
• Fire?	Y	Y		Y / N	N/A	N/A	
• Fire water run-off?		Y		Y / N		N/A	
• Evacuation from an elevated location?	N/A			Y / N	N/A		
• Evacuation from a confined space?	Y			Y / N	Y		
• Explosion?	Y	Y		Y / N	N/A	N	
• Discovery of unexploded ordnance?	N/A			Y / N	N/A		
• Flood or immersion in deep water or slurries?	N/A			Y / N	N/A		
• Flood?		N/A		Y / N		N/A	
• Serious injury?	Y			Y / N	Y		
• Release of large quantities of flammable or otherwise hazardous material?	N/A			Y / N	N/A		
• Chemical Spill?		Y		Y / N		Y	
• Contamination by hazardous materials?	N/A			Y / N	N/A		
• Unintended structural collapse during or resulting from demolition?	N/A			Y / N	N/A		
• Means of communication?	Y			Y / N	Y		
• Accounting for personnel involved?	Y			Y / N	Y		
• Discharge?		N/A		Y / N		N/A	
• Pollution prevention/control?		Y		Y / N		Y	
• Notification of the emergency services?	Y	Y		Y / N	Y	Y	
• Identification of location?	Y	Y		Y / N	Y	Y	
• Compliance with the Client's system	Y	Y		Y / N	Y	Y	
Other (specify if not adequately addressed in the above):							
<b>During site activities the clients emergency procedures are followed at all times, with exception of any confined space procedures which are clearly defined within the risk assessment and method statement documents. The controlling office have emergency procedures in place and defined by the sister company and landlord ( sharing a building )</b>							
10.03 Responsibilities in emergency situations:	3	3		0 / 3	3	3	
• Are they clearly assigned and communicated?	Y	Y		Y / N	Y	Y	
10.04 Review and revision of the Emergency Response Planning system:	3	3		0 / 3			
• Reviewed at least annually and revised accordingly?	Y	Y		Y / N			
• Reviewed following the occurrence of an accident or incident and revised accordingly?	N/A	N/A		Y / N			
<b>Emergency Fire evacuation is reviewed annually and results of the evacuation drill are analysed.</b>							
				Y / N			

# Verify Category B2 Audit Report

## 10.05 Are practice drills undertaken across one or more sites?

- More frequently than annually?
- Less frequently than annually?
- Are they recorded?

0 / 2	2	2
Y / N	N/A	N/A
Y / N	N/A	N/A
Y / N	N/A	N/A

## 10.06 Are fire extinguishers checked annually?

Fire extinguishers within the controlling office are serviced annually along with an extinguishers in the company vehicle. Serviced by Moffat Fire & Security 27.05.14 - Certificate of maintenance witnessed during the audit.

0 / 2	2
-------	---

## 10.07 Are emergency first aiders quickly available?

0 / 2	2
-------	---

## 10.08 Are emergency first aid facilities readily available?

First Aid boxes are situated within the company vehicle.

0 / 2	2
-------	---

## 10.09 Is the means of alerting the emergency services reliable?

0 / 2	2
-------	---

## Section 10. Emergency Plans - Scores Summary

Score Achieved

Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
13	12		18	10	
13	13		18	10	

## Section 10. Emergency Plans - Executive Summary

### Management System Evaluation

The company health and safety management system includes defined procedures in the event of an emergency. Adequate arrangements are in place to ensure contingency plans relevant to operational activities are developed and established for all activities undertaken by the company. Responsible persons are nominated and identified, practice drills are undertaken at the company offices, sufficient first aid and fire fighting equipment is readily accessible.

### Site Assessment

Suitable arrangements are in place to enable contingency plans to be implemented in the event of an emergency situation occurring on site. Defined procedures are included in the site-specific risk assessment documents. A means of contacting the emergency services is provided to the site team. Responsible persons are identified and effective means of contacting the emergency services are provided. Sufficient first aid and fire fighting equipment provision is readily available and fit for use.

# Verify Category B2 Audit Report

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
<b>Section 11. Occupational Health</b>							
<b>11.01 Identify if there is exposure or potential exposure to any of the following hazards at work sites:</b>							
• Substances with WELs?	Y			Y / N	Y		
• Dermatitis inducing materials, carcinogens?	Y			Y / N	Y		
• Biological - eg Weils Disease?	Y			Y / N	Y		
• Work related upper limb disorders?	Y			Y / N	Y		
• Vibrations - including whole body?	N			Y / N	N		
• Radiations - ionising?	N			Y / N	N		
• Radiations - non-ionising including UV in sunlight?	N			Y / N	N		
• Noise above the lower action value?	N			Y / N	N		
• Confined spaces (fitness)?	N			Y / N	N		
• Driving or operation of plant and equipment (fitness)?	N			Y / N	N		
• Ergonomic, including work station use?	Y			Y / N	N		
<b>11.02 Are measures in place and implemented for these hazards, as applicable?</b>	4			0 / 4	4		
• Air sampling?	N/A			Y / N	N/A		
• Monitoring of exposure?	N/A			Y / N	N/A		
• Personal dosimetry?	N/A			Y / N	N/A		
• Eye Tests?	Y			Y / N	Y		
• Audiometry Tests?	Y			Y / N	Y		
• General Health Monitoring?	Y			Y / N	Y		
• Health Surveillance (related to specific hazards)?	Y			Y / N	Y		
<b>The company provide all staff with an annual health assessment carried out by an external company.</b>							
<b>11.03 With regard to health surveillance:</b>	3			0 / 3			
• Are the results monitored?	Y			Y / N			
• Is an action plan available?	Y			Y / N			
• Is there evidence that the actions have been implemented?	Y			Y / N			
Are records kept for the appropriate periods	2			0 / 2			
<b>NHS Dumfries and Galloway Occupational Health Services - invoice Y0020343 6th August 2014.</b>							
<b>11.04 Is there a system that defines the establishment of welfare facilities for employees on site?</b>	2			0 / 2			
• Is the system documented?	Y			Y / N			
<b>Defined within the management system manual.</b>							

# Verify Category B2 Audit Report

## 11.05 Are employees provided with adequate facilities close to the work face:

- Toilets?
- Hand washing?
- Drinking water?
- Rest and eating areas?
- First aid equipment?
- Protection against the elements?
- Clothes drying and changing?

0 / 3	3
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	Y
Y / N	Y

Welfare facilities are provided by the client as agreed prior to project works.

## 11.06 Is a drugs and alcohol policy available?

Does the policy detail:

- Restrictions on legal as well as illegal drugs, including non-prescription drugs?
- Prohibition in safety critical areas?
- Disciplinary action taken for non-compliance?

1
1
N
N
Y

0 / 1
0 / 3
Y / N
Y / N
Y / N

There is scope to review the company drugs and alcohol policy.

Are employees at site aware of the provisions of the policy?

Issued within the Staff handbook and a toolbox talk is planned to ensure all agency staff are aware.

0 / 3	2
-------	---

## 11.07 Is there random sampling for drugs and alcohol?

Is evidence available to show the results and actions of sampling?

Although random testing is not currently carried out by the company, staff and site engineers are aware that this may be carried out on any client site and full co operation is required.

0
0

0 / 2
0 / 2

## 11.08 Are arrangements in place for journey management?

- Are driving licences checked?
- Are excessive combined working and driving times prohibited?
- Is the use of mobile phones prohibited whilst driving?
- When using own vehicle on business, are owners required to confirm vehicle road-worthiness and adequate insurance cover?

4
Y
Y
Y
N/A

0 / 4
Y / N
Y / N
Y / N
Y / N

Licences witnessed during the audit x 2 agency workers.

## 11.09 Are arrangements in place for complying with the Working Time Regulations:

- Are working hours monitored for both day and night work?
- Does working time include driving time (other than routine travel between home and work)?
- Is the 48 hours per week, on average, limit adhered to?
- Are the stricter limits (including night work) for young persons adhered to?
- Are free health assessments offered to night workers?
- Employees are given the right to cancel their opt-out of the 48 hour limit?

4
N/A
Y
Y
N/A
N/A
Y

0 / 4
Y / N
Y / N
Y / N
Y / N
Y / N
Y / N

Appropriate HR Records are retained and were witnessed during the audit.

# Verify Category B2 Audit Report

## 11.10 Is sickness absence monitored?

- Are the results analysed and actions defined?
- Are the actions implemented?

2
Y
Y

0 / 2  
Y / N  
Y / N

## Section 11. Occupational Health - Scores Summary

*Score Achieved*

*Total Potential Score*

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
23			9		
29			10		

## Section 11. Occupational Health - Executive Summary

### Management System Evaluation

The health of staff was assessed at the company recruitment stage using a general health questionnaire, which addresses a comprehensive range of health aspects and health surveillance is carried out on an annual basis by an external provider. The company has a drugs and alcohol policy in place, although testing is not currently carried out. Journey management is considered when allocating assigned works and company vehicles are utilised. The company has suitable arrangements to enable compliance with the Working Time Regulations to be achieved. Sickness absence is monitored by the company and appropriate action taken where necessary.

### Site Assessment

Journey management is considered for the site operations to maximise vehicle and manpower resources, reduce travel, driving and fatigue and meet contractual obligations. Adequate welfare facilities on site were found to be in good working order and clean condition. Operational staff are subject to a company health surveillance process and ongoing monitoring, as required.

# Verify Category B2 Audit Report

## Section 12. Minimisation

**12.01 Has the organisation undertaken a review of its EPIs relating to the consumption of:**

- Energy?
- Water?
- Goods and raw materials from sustainable resources?
- Goods and raw materials from unsustainable resources?

**This is a small company who rent small office facilities, the rental agreement includes utility costs, making it difficult to monitor and measure energy as they have no access to data.**

**12.02 Can the organisation demonstrate a reduction in the use of:**

- Energy?
- Water?
- Goods and raw materials from unsustainable resources?

**12.03 Has the organisation benefited from changing to equipments with less environmental impacts ie:**

- Equipment which uses less overall resources?
- Equipment which creates less pollution or waste?
- Equipment that can be fitted to existing technology but reduces environmental impact ?
- Equipment with fewer environmental impacts when scrapped?
- Equipment with a longer design lifetime?
- Equipment with fewer environmental impacts in its production?

Other (specify):

**When appropriate the company vehicle is replaced with a fuel efficient model with lower emissions, low energy lights are used where possible and company IT equipment is replaced with energy efficient models with a sleep mode and printers are shared throughout the department.**

**12.04 With regard to the amount of waste the organisation produces, can it demonstrate:**

- A reduction in any areas of waste production?
- Evidence of the re-use of any of the materials or goods?
- Evidence of segregation of unwanted material to facilitate re-cycling?

**Materials are ordered for each project specifically to minimise the amount of waste during service delivery. Any materials suitable for reuse are returned to the controlling office as appropriate.**

**12.05 For waste sent to landfill:**

- The quantity of waste sent is recorded (score 0 for No)
- The trend is increasing (score 0), or;
- The trend is level (score 1), or;
- The trend is reducing (score 2), or;
- None is sent for landfill (score 3).

**Waste during service delivery is minimal and client facilities are utilised by prior agreement when possible.**

	MSE				Site		
	H&S	Env	Qual		H&S	Env	Qual
		0		0 / 3			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		0		0 / 5			
		N		Y / N			
		N		Y / N			
		N		Y / N			
		3		0 / 3			
		Y		Y / N			
		Y		Y / N			
		Y		Y / N			
		Y		Y / N			
		Y		Y / N			
		Y		Y / N			
		3		0 / 3		3	
		Y		Y / N			
		Y		Y / N		Y	
		Y		Y / N		Y	
		0		0 / 3		0	
		Y		Y / N		Y	
		N/A		Y / N/A		N/A	
		N/A		Y / N/A		N/A	
		N/A		Y / N/A		N/A	
		N/A		Y / N/A		N/A	

# Verify Category B2 Audit Report

12.06 Are journeys coordinated where possible to minimise on fuel usage?

2

0 / 2

2

12.07 Does the company use life cycle analysis techniques?

2

0 / 2

What life cycle analysis processes are used:

n/a

## Section 12. Minimisation - Scores Summary

Score Achieved

Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
	10			5	
	21			8	

## Section 12. Minimisation - Executive Summary

### Management System Evaluation

The company may benefit from completing a review of its EPIs relating to the consumption of energy and fuel. The company has changed to equipment that uses less resource and has reduced the amount of waste that it sends to landfill.

### Site Assessment

The workforce are made aware of the company's approach to environmental minimisation. The segregation of waste, recycling and re-use of equipment are promoted and encouraged throughout all activities. Equipment is re-used and re-allocated between project sites, as appropriate. Waste generation during site operations is minimal.



# Verify Category B2 Audit Report

## Section 13. Quality Control

### 13.01 What quality planning is used? Does it:

- Define a work plan with a required delivery date/time?
- Define inspections and associated hold points?
- Define testing requirements?
- Refer to appropriate standards and specifications?

A quality work plan is completed along with any pre-contract meetings to establish the clients requirements and completion dates. Barrow WWTW Sludge mixing modifications contract 635-14 - witnessed during the audit.

### 13.02 With reference to Inspections:

- Is there a defined process for inspections?
- Are inspection records comprehensive, fully completed and signed off?
- Are the persons completing them competent?
- Is there a reporting and close out mechanism for inspection failures?

Factory Acceptance Test are carried out on request and appropriate certification is issued within the project files.

### 13.03 With reference to Test Checklists:

- Are they fully completed and signed off?
- Is the person completing them competent?
- Do they indicate pass/fail criteria?
- Is there a reporting and close out mechanism for test failures?

Commissioning Report 616-14: 01.08.14 - signed off by the client, Stem Drive and the commissioning Engineer as appropriate.

### 13.04 Calibration of test and measuring equipment:

- Are calibrations carried out by a UKAS or equivalent accredited test house?
- Are calibration certificates available and up to date
- Is there a process for withdrawing equipment on or before calibration validity periods expire?
- Is the validity of equipment calibrations clearly evident to users?
- Are in-use equipments within calibration validity periods?

Calibration register is retained and updated within the administration department - any monitoring and measuring equipment used within the workshop area is identified with a sticker. There is no monitor or measuring equipment used during service delivery.

MSE				Site		
H&S	Env	Qual		H&S	Env	Qual
		3	0 / 3			3
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		3	0 / 3			3
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		3	0 / 3			3
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		Y	Y / N			Y
		3	0 / 3			3
		Y	Y / N			
		Y	Y / N			
		Y	Y / N			
			Y / N			N/A
			Y / N			N/A

# Verify Category B2 Audit Report

Is a handover system used?

- Is the process formally defined ?
- Does the sign-off sheet invite Client's comments?

3	0 / 3
Y	Y / N
Y	Y / N

Operation and Maintenance manuals are submitted electronically and paper copy on completion, this includes the following: Operation and maintenance instructions for the system and components as appropriate, test and commissioning certificates, manufactures literature, schematics and drawings and a spare parts list when appropriate.

## Section 13. Quality Control - Scores Summary

Score Achieved

Total Potential Score

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
		15			12
		15			12

## Section 13. Quality Control - Executive Summary

Management System Evaluation

The company has defined quality planning and control procedures in place that are supported by documented sign off sheets. Test equipment is calibrated through a UKAS accredited test house.

Site Assessment

Quality planning and test checklists are used by the company and appropriately signed off by the Contracts Manager. There is no monitor or measuring equipment used during service delivery.

# Verify Category B2 Audit Report

## Section 14. Improvement and Best Practice

### 14.01 How is continual improvement facilitated:

- Monitoring?
- Audit and review?
- Minimisation?
- Benchmarking?
- Accident information?
- Near miss data?
- Incident Data
- Quality control Failures?
- Review of Handovers?
- Targets (SMART)?
- Outside bodies?
- Employee involvement?
- Training courses, seminars and workshops?

MSE				Site		
H&S	Env	Qual		H&S	Env	Qual
3	3	3	0 / 5	3	3	3
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N			
	N		Y / N		N	
N	N	N	Y / N	N	N	N
Y	Y		Y / N	Y	Y	
Y	Y		Y / N	Y	Y	
	Y		Y / N		Y	
		Y	Y / N			Y
		Y	Y / N			Y
N	N	N	Y / N	N	N	N
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N	Y	Y	Y
Y	Y	Y	Y / N	Y	Y	Y

### 14.02 Provide an example of a significant improvement in the last 12 months ; detail below.

#### Health and Safety:

Environmental improvement - the zero waste Scotland regulation has enforced segregation of recycling waste, this has highlighted a reduction in waste going to landfill.

0	1	0	0 / 2			
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### 14.03 What outstanding achievements has the company attained in the last 12 months? (Give details below)

- They are recognised externally?
- Awarded in competition with others?
- Externally assessed at own premises or clients site?

0	0	0	0 / 3			
N	N	N	Y / N			
N	N	N	Y / N			
N	N	N	Y / N			

### 14.04 What outstanding achievements has the company attained in the last 12 to 24 months? (Give details below)

- They are recognised externally?
- Awarded in competition with others?
- Externally assessed at own premises or clients site?

0	0	0	0 / 2			
N	N	N	Y / N			
N	N	N	Y / N			
N	N	N	Y / N			

# Verify Category B2 Audit Report

## 14.05 Details of outstanding achievements (in reverse chronological order):

### Health and Safety:

Date Achieved:

Detail:

Date Achieved:

Detail:

Date Achieved:

Detail:

Date Achieved:

### Environment:

Date Achieved:

Detail:

Date Achieved:

Detail:

Date Achieved:

Detail:

Date Achieved:

### Quality:

Date Achieved:

Detail:

Date Achieved:

Detail:

Date Achieved:

# Verify Category B2 Audit Report

Detail:

Date Achieved:

**14.06 Does the company produce an annual Health and Safety Report**

- The report is published externally? Indicate below how:

0
N

0 / 2  
Y / N

**14.07 Does the company produces an annual environment report?**

- The report is published externally? Indicate below how:
- The report is independently accredited? Indicate by whom:

0
N
N

0 / 3  
Y / N  
Y / N

**14.08 Does the company use business models/management systems?**

- EFQM?
- Other? Detail below.

0
N
N

0 / 2  
Y / N  
Y / N

**Section 14. Improvement and Best Practice - Scores Summary**

	MSE			Site		
	H&S	Env	Qual	H&S	Env	Qual
Score Achieved	3	4	3	3	3	3
Total Potential Score	14	15	14	5	5	5

**Section 14. Improvement and Best Practice - Executive Summary**

**Management System Evaluation**

The company has developed a range of varied and effective measures to assist in continual improvement in health and safety, quality and environmental performance. This is achieved by the company carrying out site audits, inspections and reviews, and ensuring that site operatives also received adequate training.

**Site Assessment**

Site operations are undertaken by competent personnel adhering to defined procedures and safe systems of work. The continual improvement in health and safety, environmental and quality performance is facilitated through regular monitoring of activities, employee involvement, suitable training provision, client liaison and effective quality control processes.

**SCORE SUMMARY - ALL SECTIONS**

Score Achieved  
Total Potential Score  
Percentage Scores

MSE			Site		
H&S	Env	Qual	H&S	Env	Qual
232	168	105	157	115	39
305	256	128	179	138	47
76.1%	65.6%	82.0%	87.7%	83.3%	83.0%