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**Standard for Health & Safety Plans and
Auditing Requirements
(Grades 2 to 9)
22 August 2018**



Construction Industry Development Board

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Pretoria
Tel: 012 482 7200
E-mail: cidb@cidb.org.za

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Standard for Health & Safety Plans and Auditing Requirements (Grades 2 to 9)

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Standard for Health & Safety Plans and Auditing Requirements (Grades 2 to 9)

Foreword

The cidb Act (Act 38 of 2000) requires that the Board must establish a *Best Practice Project Assessment Scheme* based on the best practices identified by the Board. All construction contracts above a prescribed tender value will then be subject to an assessment of compliance with best practice standards and guidelines published by the Board.

The Construction Regulations¹ require that a client develops a H&S specification based on the project's baseline risk assessment, and that the principal contractor is to provide and demonstrate to the client a suitable and sufficiently documented H&S plan, based on the client's documented H&S specification. The Regulations require that the client shall discuss and negotiate with the principal contractor the contents of the H&S plan and thereafter finally approve the H&S plan for implementation. The client shall monitor the H&S performance of a principal contractor and carry out H&S audits as agreed with the principal contractor, but at least at monthly intervals. The Regulations then require that the principal contractor shall hand over a H&S file to the client at the completion of the project.

In line with the Construction Regulations, the aim of this best practice *Standard for Health & Safety Plans and Auditing Requirements* is to provide for:

- a uniform and consistent assessment of a principal contractor's H&S plan by the client prior to the beginning of a construction works project; and
- auditing of the implementation of the principal contractor's H&S plan by the client during the construction period.

Private and public sector employers are encouraged to adopt this Standard. Notwithstanding this, it is the cidb's intent that in terms of the cidb Act and as prescribed by the Minister of Public Works, the cidb will undertake a mandatory assessment of compliance with this Standard on selected public sector contracts.

1 Scope

This Standard sets out the process and responsibilities by which a client:

- reviews and approves the H&S plan submitted by the principal contractor; and
- audits the implementation of the H&S plan during construction.

This Standard is applicable to construction works within tender values equivalent to cidb Contractor Grades 2 to 9.

2 Terms and Definitions

For the purposes of this document, the following terms and definitions apply:

¹ Department of Labour (DoL), (2014). *Occupational Health and Safety Act (1993): Construction Regulations*. Pretoria: Government Gazette, Regulation Gazette No. 10113, Vol. 584, No. 37305.

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as-built drawings: revised set of drawings submitted by a contractor upon completion of a project

class of construction works: the class of construction works referred to in Schedule 3 of the Construction Industry Development Regulations 2004 as amended and published in terms of the Construction Industry Development Board Act of 2000 (Act 38 of 2000)

client: person or organization entering into the contract with the contractor for the provision of goods, services, or engineering and construction works

Construction Industry Development Board (CIDB): the board established in terms of the Construction Industry Development Board Act of 2000 (Act 38 of 2000)

construction site: a work place where construction work is being performed

contract amount: financial value of the contract at the time of the award of the contract, exclusive of all allowances and any value added tax or sales tax which the law requires the employer to pay to the contractor

contractor: an employer who performs construction work

practical completion certificate: a certificate issued in terms of a contract by the employer, signifying that the whole of the construction works have reached a state of readiness for occupation or use for the purposes intended, although some minor work may be outstanding

NOTE Practical completion is commonly understood to be a state of readiness for occupation of the whole works although some minor work may be outstanding. Practical completion in a construction works contract occurs when:

- a) FIDIC Short Form of Contract: the date when the Employer considers that the Works have been completed in accordance with the Contract, except for minor outstanding work and defects which will not substantially affect the use of the Works for their intended purpose
- b) FIDIC Red, Silver and Yellow Book: the date when the Engineer determines that the Works has substantially been completed and can be used for the purpose intended
- c) GCC 2010: "Practical Completion" means the date when the Engineer certifies that the whole or portion of the Works has reached a state of readiness, fit for the intended purpose, and occupation without danger or undue inconvenience to the Employer, although some work may be outstanding
- d) JBCC 2000 Principal Building Agreement and JBCC Minor Works Agreement: the date when the principal agent decides that the completion of the works has substantially been reached and can be used for the purpose intended
- e) NEC3 Engineering and Construction Contract: the date when the Project Manager decides that the Contractor has reached Completion as defined in the contract
- f) NEC3 Engineering and Construction Short Contract: the date when the Employer decides that the Contractor has completed the works in accordance with the Works Information except for correcting notified Defects which do not prevent the Employer from using the works and others from doing their work.

principal contractor: an employer appointed by the client to perform construction work

project: a construction works contract or a series of related construction works contracts

3. Requirements

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3.1 Health and Safety Specifications

- 3.1.1 Clients must prepare a baseline risk assessment for the specific project which will inform the client with the development of the H&S specification. [5(1)(a)]²
- 3.1.2 Clients must include the H&S specification in the tender documents when soliciting tenders for construction works contracts. [5(1)(f)]

3.2 Health and Safety Plans

- 3.2.1 Clients must review, discuss and negotiate the H&S plan submitted by the principal contractor³ before the work begins to verify that the H&S plan responds to the client's project H&S specifications, using the checklist in Annex B as a guide to assess the suitability of the principal contractor's H&S plan. [5(1)(l)]
- 3.2.2 The H&S plan must be structured to include the following five areas:
- project information;
 - client requirements for H&S management on the project;
 - environmental restrictions and existing risks on site;
 - H&S file; and
 - project H&S review.
- 3.2.3 Should there be any deficiencies in the H&S plan, clients must recommend improvements to the contents of the H&S plan and must approve and sign the amended H&S plan before the work begins. [5(1)(l)]
- 3.2.4 Clients must ensure that the H&S plan submitted by the principal contractor is implemented and maintained on the construction site and must agree on the audit schedule which should take place at least monthly with the principal contractor. Clients must use the audit checklist in Annex C as a guide to assess whether the principal contractor implements the agreed H&S plan on the project. [5(1)(n)]; [5(1)(o)]
- 3.2.5 Clients must undertake follow-up inspections should there be any non-conformance during the audit and close out all outstanding issues.
- 3.2.6 Clients must receive a consolidated H&S file for the specific project from the principal contractor at practical completion of the project and are required to use the checklist in Annex B (section 4) as a guide for the completeness of the H&S file. [7(1)(e)]

² Note: references in [] brackets denote clauses within the Construction Regulations, 2014

³ Guidelines for H&S plans are given in Annex A

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Annex A: Guidelines for H&S Plans (Informative)

A.1 General

An H&S plan is a documented plan which addresses hazards identified and includes safe work procedures to mitigate, reduce or control the hazards identified. An H&S plan sets out the arrangements to manage H&S on a construction project.

[7(1)(a)]

The H&S plan must be in writing, accessible to an employee, inspector, contractor and easily understood by management, supervisors and workers on the construction site. It may not be necessary to communicate the entire plan to all workers (including contractors), however, they must be made aware of the parts that are applicable to the work they are carrying out. The H&S plan must be implemented, maintained and kept up to date during the course of the work on the site.

[5(1)(m)];
[5(1)(n)]

This Annex provides guidelines for clients to assess the adequacy of the principal contractor's H&S plan before the work begins, auditing the principal contractor's implementation of the H&S plans and finally to sign off the H&S file as required. These guidelines can also be used by principal contractors to develop and implement their H&S plans.

A.2 Preparing a Health and Safety Plan

The level of detail required for a H&S plan will depend on how complex the construction site is (in particular, the number of contractors at the construction site at any one time) and the risks involved in the work.

The principal contractor should prepare a H&S plan that includes:

- project information;
- client requirements for H&S management on the project;
- environmental restrictions and existing on-site risks arrangements, imposed by others or developed by the principal contractor, to control significant site H&S risks;
- H&S file; and
- project H&S review.

The H&S plan should include the following information:

- details of the client, that is the person commissioning the construction work, for example their name, representative and contact details;
- details of the principal contractor;
- details of the construction project, for example address of the workplace, anticipated start and end date and a brief description of the type of construction work that the H&S plan will cover;
- details on how contractors will be managed and monitored, including how the principal contractor intends to implement and ensure compliance with the H&S plan such as checking on the performance of contractors and how non-compliance will be handled; and

[7(1)(c)(vi);
(vii)]

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- details on how the risks associated with falls, falling objects, moving plant, electrical work and all high risk construction work that will take place on a construction project will be managed.

[9]

The H&S plan should also include information on:

- | | |
|--|---|
| <ul style="list-style-type: none"> • the provision and maintenance of a hazardous chemicals register, safety data sheets and hazardous chemicals storage; | [25(a)]; [29(b)] |
| <ul style="list-style-type: none"> • the safe use and storage of plant; | [23] |
| <ul style="list-style-type: none"> • the development of a construction project traffic management plan; | [23(2)(b); (c);(d)] |
| <ul style="list-style-type: none"> • obtaining and providing essential services information – electrical, gas, telecommunication, water and similar services; | [13(2g)]; [14(4)(e)]; [24(a)] |
| <ul style="list-style-type: none"> • workplace security and public safety;] and | [13(2)(i)]; [14(4)(h)]; [23(2)(b); (c); (d)]; [27(f)(g)] |
| <ul style="list-style-type: none"> • ensuring workers: <ul style="list-style-type: none"> • are competent, | [8(1);(8)]; [9(1)]; [10(1)(a)]; [10(5)(b)]; [12(1); (2)]; [12(3)(a); (e); (f); (g)]; [13(1)(a); 13(2)(k)]; [14(1); 14(11)]; [16(1)]; [17(1); 17(8)(a); (c); [18(1)(a); (c); [18(2)(b)]; [19(6); 19(8)(a); (8)(c)]; [20(1); 20(2)]; 21(2)(b); (g)(ii)]; [22(a); (e); [23(1)(d)(i); [24(c); (d)]; [28(a)]; [29(h)] [18(1)(c)] |
| <ul style="list-style-type: none"> • have appropriate licences • have appropriate training | [7(5)]; [9(3)]; [10(2)(c)]; [12(3)(d)]; [17(12)(c)]; [17(13)]; [21(1)(b)]; [23(1)(d)(i); [29(i)] |
- to undertake the construction work⁴.

A.3 Contents of a Health and Safety Plan

A.3.1 Project Information

The H&S plan must contain:

- a general description of the type of work activities involved in the project and not just a description of the facility to be constructed;
- the project program or schedule details, including start and finish dates, showing principal activities;
- details of client, design team, principal contractor, contractors, and major suppliers; and
- extent and location of relevant existing records, surveys, site investigation and geotechnical reports, 'as-built' drawings, H&S files, and maps.

⁴ NSW Government, (2013). *Work Health and Safety Management Systems and Auditing Guidelines*. 5th ed. www.procurepoint.nsw.gov.au

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A.3.2 Client Requirements for H&S Management on Projects

The H&S plan must contain:

a) **H&S responsibilities:** Details of the principal contractor's project organizational structure, procedures and allocations of responsibilities for H&S in the form of an H&S organogram/organizational chart with the names of individuals and their specific H&S responsibilities. For example:

- | | |
|--|--------------------|
| • overall responsible person (construction manager); | [8(1)] |
| • assistant construction manager; | [8(2)] |
| • construction supervisor; | [8(7)] |
| • competent employees (assisting construction supervisors); | [8(8)] |
| • construction H&S Officer; | [8(5)] |
| • responsible persons for: | |
| • conducting risk assessments; | [9(1)] |
| • work at height/roof; | [10] |
| • preparation of fall protection plan; | [10(1)(a)] |
| • structures; | [11] |
| • temporary works design and inspection; | [12(1) and |
| • excavation works; | 12(2)] |
| • explosives for excavations; | [13(a)] |
| • explosives for demolition work; | [13(2)(k)] |
| • demolition work; | [14(11)] |
| • asbestos work; | [14(1)] |
| • lead work; | [14(9)] |
| • tunnelling; | [14(10)] |
| • scaffold; | [15] |
| • suspended platforms; | [16(1)] |
| • rope access work; | [17(1)] |
| • operating a material hoist; | [18(1)(a)] |
| • erection and maintenance of material hoists; | [19(6)] |
| • supervision of bulk mixing plant; | [19(8)(a)] |
| • operating a bulk mixing plant; | [20(1)] |
| • health and safety in confined spaces; | [20(2)] |
| • operation, maintenance and use of explosive actuated | [20(7)]; |
| fastening device; | [21(1)(b); (2)(b); |
| • design and erection of tower cranes; | (2)(g)(i),(ii)] |
| • operating a tower crane; | [22(a)] |
| • maintaining construction vehicles and mobile plant; | [22(e)] |
| • operating construction vehicles and mobile plant; | [23(1)(b)] |
| • inspection of construction vehicles and mobile plant; | [23(1)(d)(i)] |
| • temporary electrical installations; waste collection/disposal; | [23(1)(k)] |
| • supervision of stacking and storage; | [26(b),(d)] |
| • fire precautions, emergencies/first-aid/fire; | [28(a)] |
| • fire equipment inspection; | [25(c)]; [29] |
| • use of fire – extinguishing equipment; | [29(h)] |
| | [29(i)] |
| • construction employees' facilities; | [30] |
| • H&S Representative; and | |
| • other. | |

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- b) Notice boards:** The plan must indicate what arrangements will be made for the display of the notifiable particulars on project signboards. [17(7)(c)]; [19(5)]; [21(2)(f)]; [25(b)]; [29(c)]; [9(d)(iii)]
- c) H&S goals:** The plan must include the principal contractor's H&S goals that must be achieved for the project and how they relate to the Client's stipulated goals in the H&S specifications where these have been stated. The principal contractor must make arrangements for the monitoring and review of H&S such as H&S goals, targets, key performance indicators, etc.
- d) Permits:** The plan must include processes to ensure requirements for permits and authorizations are obtained before the start of the works. The plan must include arrangements to display the construction work permit should the site be assigned such a permit. [3(4)]
- e) Notifications:** The plan must include processes to ensure requirements for notifications and authorizations are obtained before the start of the works. [4]
- f) H&S monitoring:** The plan must indicate how H&S will be going to be monitored on the project. [7(1)(c)(vi)]
- The plan must indicate how the H&S performance of others especially contractors and suppliers' are going to be measured and monitored.
- g) H&S review:** The plan must indicate how H&S is going to be reviewed and updated. The plan must indicate how the principal contractor will review the contents of the contractor's H&S plan to ensure that the plan responds to the relevant sections of the client's H&S specification and provided by the principal contractor. [7(2)(a)]
- The plan must indicate how the contractor will review its H&S plan to ensure that the plan is updated as the work progresses. [7(2)(a)]
- h) H&S inspections:** The plan must indicate what types and frequency of H&S inspections are planned and by whom. The plan must indicate how the principal contractor will be conducting periodic site audits and document verification at mutually agreed intervals with the contractor. [7(1)(c)(vii)]
- i) Emergency and first aid:** The plan must indicate what emergency procedures and requirements are in place and the contact arrangements with external services, particularly first aid, emergency medical care and rescue work (e.g. fire). [29(l)]
- j) Medical certificates:** The plan must indicate the arrangements to ensure all the employees have valid medical certificates of fitness specific to the construction work to be performed. [7(1)(g); 7(8)]
- k) Medical surveillance:** The plan must indicate the arrangements to ensure all medical surveillance are carried out on the project to specific standards and the supporting documentation are provided.

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- l) Reporting fatality, permanent injury or occupational disease:** The plan must indicate the procedures following the requirements for reporting a fatality, permanent injury or occupational disease to the provincial director as contemplated in section 24 and 25 of the Act and in accordance with regulations 8 and 9 of the General Administrative Regulations, 2003 as amended. [5(3)]
- m) Registration with the Compensation Fund:** The plan must make provision for proof of registration and letters of good standing with the compensation fund or with a licensed compensation insurer as contemplated in the Compensation for Occupational Injuries and Diseases Act, 1993. [7(1)(c)(iv)]
- n) Purchasing:** The plan must include procedures for ensuring the competence and adequacy of resources of contractors, suppliers, and manufacturers (prequalification submittals) are appropriate to the requirements of the project. [7(1)(c)(iii); 7(2)(c)]
- o) Communication and consultation:** The plan must include arrangements in place for regular liaison between all those working on site to:
- exchange H&S information; [7(2)(e)]
 - ensure security;
 - ensure site inductions and on-site training; [7(5); 7(6)]
 - co-ordinate and enforce fire and emergency procedures, prevention and control; [29(a); 29(g); 29(l)]
 - enforce site rules;
 - co-ordinate responsibility for shared plant & equipment;
 - co-ordinate and enforce First Aid arrangements and procedures; and
 - investigate accidents and incidents.

The plan must include arrangements for provision of understandable and accessible information to everyone on the job including induction, changing work environmental conditions, and emergencies.

The plan must include arrangements for ensuring that every contractor provides H&S information to their workers and that they provide the necessary training.

The plan must include procedures in place for worker consultation and forums such as required by the Occupational Health and Safety Act (OH&SA of 1993). [9(5)]

- p) Co-operation between contractors:** The plan must include arrangements for identifying where works by one contractor and their assessment and control of risks may affect the works of another contractor.

The plan must include arrangements by the principal contractor for co-operation between all contractors, for example, where the type and frequency of H&S meetings are described. [7(4)]

The plan must include arrangements for co-ordinating preventative and control measures where more than one contractor may be exposed to the same risk.

The plan must ensure co-ordination of H&S surveillance and/or assistance between various contractors.

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- The plan must include arrangements by the contractor to co-operate with the principal contractor to enable both parties to conform with the H&S requirements. [7(2)(d)]
- q) Site rules:** The plan must include specific site rules and other restrictions on contractors, suppliers and manufacturers such as permit-to-work procedures and arrangements for compliance by others with any rules in the H&S plan.
- r) Permits:** The plan must include processes to ensure requirements for permits and authorizations are obtained before the start of the works. [4(1); (2)]
- s) Site security and access:** The plan must include security arrangements that include site boundary, security, demarcation such as fencing, enclosures, alarm and warning systems, no-go areas, etc. are in place. [27(f)]
- The plan must include arrangements for access to the site by authorised persons only and have procedures in place to prevent access by everyone else including consideration of rights of way and needs of emergency services. [27(f)]
- The plan must include access arrangements, including traffic routes, vehicles, doors, traffic booms, and gates that includes details of no-go areas, pedestrian and vehicle segregation, one-way road systems, and route plans. [12(3)(m)]; [13(2)(f)]; [14(4)(g)]; [16(2)]; [17(6)(e)]; 17(12)(c)(i)]; [19(2)(b)]; [20(4)(a)]; [21(2)(d)]; [23(1)(e)]; [27(c)] [23(2)(c); (d)] [23(1)(f); 23(2)(c), [20(5) [23(2)(b); [23(2)(c)]; [29(j)]
- The plan must include arrangements for permanent and temporary lighting for doing the work and security.
- The plan must indicate the contractor's arrangements to prevent an employee or person to enter the site before they have received induction training regarding the hazards on the site. [7(5); (6)]
- t) Deliveries:** The plan must include arrangements for deliveries, and any restrictions such as delivery times, demarcated/reserved storage areas, loading and unloading areas, working areas for prefabrication.
- u) Construction employees' facilities:** The plan must include provision for construction employees' facilities such as toilets and washing facilities, drinking water, rest facilities, facilities to change, clothing lockers, etc. [30(1)]
- v) Waste:** The plan must include arrangements for collection and disposal of waste materials and general debris. [14(6); (12)]; [27(b); (e)]
- w) Personal Protective Equipment:** The plan must include provision for Personal Protective Equipment (PPE) relative to identification of need for PPE (environmental exposure, medical surveillance requirements, occupational hygiene, hazardous chemical substance exposure), provision, maintenance, storage, training, etc. [7(6)]

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- x) **Working hours:** The plan must indicate the working hours details that include arrangements, for example working at night, after hours, over week-ends, and during holidays.
- y) **Training:** The plan must include arrangements for training of workers; and keeping records of such training, obtaining feedback from workers, giving advice, and the co-ordination of this information. [7(5)];[10(2)(c)]; [12(3)(d)]; [17(12)(c)]; [23(1)(d)(1)] [7(7)]; [10(2)(c)];
- z) **Design information:** The plan must include measures to capture new information in the case where there is on-going design of elements of work and management of design changes. [5(1)(r)]; [5(2)]; [7(1) (c)(ix)]; [9(7)(a)]; [12(3)(o)]

The principal contractor must have arrangements for liaison between all parties relative to:

- the exchange of design information; [7(1)(c)(i);(ix)]; [11(1)(c)]
- dealing with design changes; and [7(1)(c)(ix)];
- on-site changes and the potential H&S implications of variation orders (VOs), Requests for Information (RFIs) and Site Instructions. [5(1)(r)]; [5(2)]; [9(7)(a)]

The plan must include arrangements for possible client continued use of the facility.

The principal contractor must include details of how the H&S plan will be expanded to include each work 'package' as the design and programme continues.

The principal contractor must include arrangements for continuing interaction with the client where the design is on-going.

- aa) **Hazard identification and risk assessments:** The plan must include arrangements for obtaining and using risk assessment information, and the production of method statements [9(1)(a); (b)] [9(1)(c)]

The plan must include formal acknowledgement by the principal contractor of the hazards and risks outlined in the H&S specification.

The plan must include details of how the principal contractor has addressed these hazards and/or risks.

The plan must include the risk assessment information and the production of method statements of contractors.

The plan must include details of the inclusion of measures to deal with current residual risks.

The plan must have processes in place that will include new residual risk information.

The plan must include arrangements in place for dealing with risks for activities on or adjacent to the site during the project.

- ab) **Method statements:** The plan must include arrangements for obtaining and using risk assessment information, and the production of method statements.

The plan must include the risk assessment information and the production of method statements of contractors.

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The plan must include arrangements for the approval of method statements prepared by contractors.

- ac) H&S file:** The plan must include arrangements in place for inclusions in H&S file. [7(1)(e); 7(1)(f); (7(2)(b)]

A.3.3 Environmental restrictions and existing risks on site

The H&S plan must cover the following risks:

Health and Safety risks:

- **Fall protection:** The plan must include a fall protection plan. [10(1)(a)]
- **Fall prevention:** The plan must include measures to prevent persons from falling over objects and from heights. [10(4)(a);(b)]
- **Roof work:** The plan must include how the roof work is going to be carried out and the measures in place to work over openings and fragile materials. [5]
- **Falling objects:** The plan must have measures to prevent injury to persons on site from falling objects by providing cover over public walkways, nets and safety helmets. [14(4)(h)]; [27(g)]
- **Structures**
 - Existing structures:** The plan must provide the measures for dealing with existing and hazardous structures.
 - The plan must include details of the processes and procedures to deal with existing buildings with respect to, for example, fire damage, post-tensioned concrete structures, and stability and fragility of existing structures. [11(1)(a)]
 - New structures:** The plan must provide the measures to prevent the uncontrolled collapse of new structures. [11(1)(a)]
- **Temporary works:** The plan must include processes and procedures for the installation/erection of temporary works that will comply to the necessary standards and legal requirements. The plan must indicate the appointed competent person responsible for the design, inspection and approval of the erected temporary works on site. The plan must also indicate the competent person responsible for supervision of all temporary works. [12]
- **Excavations:** The plan must include details of processes and procedures to carry out excavations especially in poor ground conditions and excavations below the level where the Construction Regulations require specific control. [13]
- Existing services and obstructions:** The plan must include processes and procedures for dealing with services, particularly buried or underground services and underground obstructions. [13(2)(g)]

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- The plan must include processes and procedures for dealing with water/liquid/gas/electrical hazards on or adjacent to the 'site' that require control measures. [13(2)(g)]
- **Ground conditions:** The plan must include details of processes to deal with ground water conditions.
- **Demolition works:** The plan must provide a method statement by a competent person indicating the procedures to be followed when demolishing the structure. [14(1);(2)]
- The plan must include processes and procedures for dealing with asbestos according to the requirements of the Asbestos Regulations, 2001 as amended. [14(9)]
- The plan must include processes and procedures for dealing with lead to the requirements of the Lead Regulations, 2001 as amended. [14(10)]
- **Tunnelling:** The plan must indicate the minimum height which is allowed for a person to enter a tunnel. [15]
- **Scaffolding:** The plan must indicate the arrangement in place to ensure that the scaffolding work operations are carried out under the supervision of a competent person and to the required scaffold design and safety standards as incorporated for this purpose into these Regulations under section 44 of the Act. [16(1); (2)]
- **Suspended platforms:** The plan must indicate the arrangement in place to ensure that the suspended platform work operations are carried out under the supervision of a competent person and to the required design and safety standards as incorporated for this purpose into these Regulations under section 44 of the Act. [17]
- **Rope access work:** The plan must indicate the arrangement in place to ensure that all rope access work is carried out under the supervision of a competent person to the required safety standards as incorporated for this purpose into these Regulations under section 44 of the Act and that all rope access operators are competent and licensed to carry out their work. [18]
- **Material hoists:** The plan must include the arrangements to ensure that a material hoist and its tower are constructed to the required standards, that the foundations are adequate, that persons are prevented from being injured by moving parts, that the platform is designed to safely contain the loads, that daily inspections are carried out and that the hoist is operated by a competent person. [19]

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- **Bulk mixing plant:** The plan must include arrangements to ensure that the operation of a bulk mixing plant is carried out under the supervision of a competent person, that the placement and erection is carried out according to the manufacturer's requirements, that the starting and stopping devices are easily accessible and that all moving parts are secured to prevent injury to persons and that precautionary measures are taken for persons entering silos as stipulated in the General Safety Regulations, 2003 as amended. [20]
- **Explosive actuated fastening device:** The plan must indicate the measures in place for the authorised use of an explosive actuated fastening device by trained persons, the procedures for the use, storage and controlled issuing of cartridges and nails and studs. [21]
- **Cranes:** The plan must indicate the risk assessment carried out with the development of a method statement, the design and erection of the crane by a competent person, the measures in place to ensure the construction of a firm base and track for the crane and that only competent operators in possession of a medical certificate of fitness operate cranes as stipulated in the Driven Machinery Regulations, 1988 as amended. [22]
- **Construction vehicles and plant:**

Maintenance of plant: The plan must include processes and procedures for the maintenance of plant and equipment to ensure that the plant is kept in a condition that will not compromise the safety of the persons using it and also that of the persons on site. [23(1)(c)]

Operation of plant: The plan must include measures in place to ensure that only competent persons are authorised to operate construction vehicles and plant safely that vehicles transporting construction workers to and from site are securely fitted with seats. [23(1)(d)]
[23(2)(i)]

The use construction vehicles and mobile plant are complying to the requirements of the National Road Traffic Act, 1996.
- **Electrical installations and machinery:** The plan must indicate the processes and procedures in place to locate existing electrical cables and apparatus on site and the guarding thereof to prevent injury to workers to ensure the temporary installations and inspections thereof are carried out under the supervision of a competent person and that all electrical machinery are inspected by authorised persons in accordance with the Electrical Installation Regulations, 2009 as amended, and Electrical Machinery Regulations, 1988 as amended. [24(a)], [24(c);(d)] [24(e)]
- **Flammable and hazardous materials:** The plan must include procedures to control and secure flammable and hazardous materials and substances. [25]

The plan must include storage arrangements for hazardous materials on the site in accordance with the General Safety Regulations, 2003 as amended.

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- **Water environments:** The plan must include measures in place to prevent persons from falling and drowning when working over or near water. [26]
- **Housekeeping and general safeguarding:**
Site security: The plan must include procedures to prevent trespassing to the site and/or vandalism of the works. [27]

 The plan must include procedures for proper storage of materials, removal of unwanted material, disposal of material from a high place and measures in place to protect persons that pass or work under a danger area from falling objects in accordance with the Environmental Regulations for Workplaces, 1987 as amended.
- **Stacking and storage:** The plan must include arrangements for the safe stacking and storage of materials in demarcated areas in accordance with the General Safety Regulations, 2003 as amended and under the supervision of a competent person. [28]
- **Fire precautions:** The plan must include measures to prevent the risk of fire, provision of suitable storage, signage, well maintained fire-extinguishing equipment inspected by a competent person, trained workers in the use of fire-extinguishing equipment and an evacuation plan and in accordance with the Environmental Regulations for Workplaces, 1987 as amended. [29]
- **Construction employees' facilities:** The plan must make provision for shower facilities, sanitary facilities and changing facilities for each gender and sheltered areas for eating as well as reasonable living accommodation for workers in accordance with the Facilities Regulations, 2004 as amended if the site is far from their homes. [30]
- **Contaminated land:** The plan must include procedures in place for dealing with contaminated land according to the client's requirements.
- **Client activities (risks):** The plan must include arrangements for dealing with H&S risks from the activities of clients or others on site or adjacent to the site.
- **Manual handling of materials:** The plan must include procedures describing how manual handling of materials and equipment has to be dealt with. [9(2)]
- **Noise and vibration:** The plan must include arrangements for dealing with restrictions on noise and other nuisances, the measures to reduce the exposure to or effect of noise, vibration and other nuisances.
- **Working near fragile materials:** The plan must include processes and procedures when working with and/or near to fragile materials such as on roof works. [10(5)(d), (e)]

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- **Traffic planning:** The plan must include a traffic plan demarcating the traffic routes and the segregation of vehicles and pedestrians. [23(2)(b),(c),(d)]
- **Control of dust and mud:** The plan must include the procedures for the control of dust and the control and/or cleaning of mud generated by the site operations.
- **Monitoring of noise, silica and dust levels:** The plan must include the procedures for the monitoring the levels of noise, silica and dust generated by the site operations.
- **Confined spaces:** The plan must indicate measures in place as determined in the General Safety Regulations 2003 as amended for persons entering excavations for persons entering a silo and in confined and other places in which flammable gasses, vapours or dust can cause danger. [13(j)]; [20(7)] [29(d)]

A.3.4 H&S File

The H&S file is a document prepared by the principal contractor containing important project H&S information for use by the owner of the completed structure after construction has been completed. Clients must use the contents of a H&S file as is listed in section 4, Annexure B.

It is essential that the process of compiling the file commences as early as possible to ensure sufficient time to gather the required information.

The principal contractor must ensure that the client's format and layout of the H&S file is adhered to. The principal contractor must identify the responsible person that will prepare the H&S file and who will be responsible for the drafting of as-built drawings. The principal contractor must establish procedures:

- for obtaining the required information to be included in the H&S file,
- for marking-up drawings to show what has been built where there is a difference from the original drawings, and
- to ensure that residual risk information for the H&S file is passed on to those who need it.

a) Contents of a consolidated H&S file

- A copy of the construction work permit for inspection by an inspector, the client, the client's authorised agent, or an employee. [3(6)]
- Details and contact numbers of the client
- Details and contact numbers of the agent
- Details and contact numbers of the principal contractor
- Details and contact numbers of the designer of the project
- Details and contact numbers of the construction manager, construction health and safety manager and construction health and safety officer
- Physical address of the construction and site office
- Nature of the construction work
- Commencement date
- Completion date
- Maximum number of people and the name of every individual that worked on site
- Number of contractors available on site accountable to the principal contractor

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- Names of contractors appointed⁵
- Arrangements for the client to ensure that the principal contractor maintains the H&S file [5(s)]
- 'Record' of 'as-built' drawings and plans used and produced throughout the project [7(1)(e)]
- Design criteria such as design loadings for structural elements [7(1)(e)]
- Potential hazards included in the structure e.g. pre or post-tensioned beams or slabs – details should be provided
- General details of the construction methods and materials used
- Details of the equipment and maintenance facilities within the structure [7(1)(e)]
- Maintenance procedures and requirements for the structure
- Any hazards that have not been eliminated through the design and construction processes, and how they have been addressed (e.g. surveys or other information concerning asbestos or contaminated land)
- Hazardous materials used (e.g. lead paints and special coatings)
- Information regarding the removal or dismantling of installed plant and equipment⁶
- A list and proof of appointment of each contractor for part of the project on the construction site [7(1)(c)(v); 7(1)(f)]
- Arrangement to approve, monitor and review all contractors' H&S files for the project and ensure that the H&S files are available on request to an inspector, the client, the client's agent or the principal contractor [7(2)(b)]
- Arrangements by the principal contractor to ensure that all contractors' consolidated H&S files are included in the principal contractor's consolidated H&S file Manuals produced by suppliers and specialist contractors, which outline operating and maintenance procedures and schedules for plant and equipment
- Details of the location and nature of utilities and services, including emergency and fire-fighting systems⁷
- Arrangements to encapsulate critical documents; inclusion of Letters of Good Standing
- Or other client requirements

A.3.5 Project H&S Review

Contractors must review the H&S performance upon completion of the construction project as part of the project close-out report.

⁵ Department of Labour (DoL), (2014). *Occupational Health and Safety Act (1993): Construction Regulations*. Pretoria: Government Gazette, Regulation Gazette No. 10113, Vol. 584, No. 37305.

⁶ Health and Safety Executive (HSE), (2015). *Managing health and safety in construction, Construction (Design and Management) Regulations 2015, Guidance on Regulations, L153, Appendix 4: The Health and Safety File.* London: ISBN 978 0 7176 6626 3, www.hse.gov.uk

⁷ Deacon, C and Smallwood, J. (2014) Construction Regulations Seminar, Module 2.4, Health and Safety Specification.

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Annex B: Checklist to Evaluate the Adequacy of a Health & Safety Plan

The checklist has been designed to guide and support the client with the review process, and not to be a definitive checklist. It could also be used by organizations as a guide when developing their H&S plans.

Name of Principle Contractor:
Project:
Date of Evaluation / Assessment:
Client:
Name of Person undertaking Evaluation / Assessment:

	Does the H&S plan include:	Reference:	Comments:
		Where referred to in the H&S plan, include cross references to existing documents	Include comments about the adequacy of the H&S plan, for example, relative to the H&S specification
1	Project information		
	A general description of the type of work activities involved in the project - not just a description of the construction project.		
	Project program or schedule details, including start and finish dates, showing principal activities and intermediate stages.		
	Details of:		
	• client		
	• design team		
	• principal contractor		
	• contractor/s		
	• major suppliers		
	Extent and location of:		
	• relevant existing records		
	• surveys		
	• site investigation and geotechnical reports		
	• records of 'as-built' drawings		
	• H&S files		
	• maps		
2	Client requirements for H&S management on project		
2.1	H&S Responsibilities		
	Details of the principal contractor's project organizational structure, procedures and allocations of responsibilities for H&S, i.e. organogram		
	• overall responsible person (construction manager); [8(1)]		
	• assistant construction manager; [(8(2)]		
	• construction supervisor; [8(7)]		
	• competent employees (assisting construction supervisors); [8(8)]		
	• H&S Officer; [8(5)]		
	• responsible persons for:		
	• conducting risk assessments; [9(1)]		
	• work at height/roof; [10]		

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	Does the H&S plan include:	Reference:	Comments:
	<ul style="list-style-type: none"> preparation of fall protection plan; [10(1)(a)] 		
	<ul style="list-style-type: none"> structures; [11] 		
	<ul style="list-style-type: none"> temporary works design and inspection; [12(1) and 12(2)] 		
	<ul style="list-style-type: none"> excavation works; [13(a)] 		
	<ul style="list-style-type: none"> explosives for excavations; [13(2)(k)] 		
	<ul style="list-style-type: none"> explosives for demolition work; [14(11)] 		
	<ul style="list-style-type: none"> demolition work; [14(1)] 		
	<ul style="list-style-type: none"> asbestos work; [14(9)] 		
	<ul style="list-style-type: none"> lead work; [14(10)] 		
	<ul style="list-style-type: none"> tunnelling; [15] 		
	<ul style="list-style-type: none"> scaffold; [16(1)] 		
	<ul style="list-style-type: none"> suspended platforms; [17(1)] 		
	<ul style="list-style-type: none"> rope access work; [18(1)(a)] 		
	<ul style="list-style-type: none"> operating a material hoist; [19(6)] 		
	<ul style="list-style-type: none"> erection and maintenance of material hoists; [19(8)(a)] 		
	<ul style="list-style-type: none"> supervision of bulk mixing plant; [20(1)] 		
	<ul style="list-style-type: none"> operating a bulk mixing plant; [20(2)] 		
	<ul style="list-style-type: none"> health and safety in confined spaces; [20(7)] 		
	<ul style="list-style-type: none"> operation, maintenance and use of explosive actuated fastening device; [21(1)(b); (2)(b); (2)(g)(i),(ii)] 		
	<ul style="list-style-type: none"> design and erection of tower cranes; [22(a)] 		
	<ul style="list-style-type: none"> operating a tower crane; [22(e)] 		
	<ul style="list-style-type: none"> maintaining construction vehicles and mobile plant; [23(1)(b)] 		
	<ul style="list-style-type: none"> operating construction vehicles and mobile plant; [23(1)(d)(i)] 		
	<ul style="list-style-type: none"> inspection of construction vehicles and mobile plant; [23(1)(k)] 		
	<ul style="list-style-type: none"> temporary electrical installations; [24(c)] 		
	<ul style="list-style-type: none"> inspection of temporary electrical installations; [24(d)] 		
	<ul style="list-style-type: none"> inspection of electrical machinery [24(e)] 		
	<ul style="list-style-type: none"> safe use and storage of flammable liquids; [25] 		
	<ul style="list-style-type: none"> safe working near water environments; [26] 		
	<ul style="list-style-type: none"> housekeeping and general safeguarding; [27] 		
	<ul style="list-style-type: none"> waste collection/disposal; [26(b),(d)] 		
	<ul style="list-style-type: none"> supervision of stacking and storage; [28(a)] 		
	<ul style="list-style-type: none"> fire precautions, emergencies/ first-aid/ fire; [25(c); [29] 		
	<ul style="list-style-type: none"> fire equipment inspection; [29(h)] 		
	<ul style="list-style-type: none"> use of fire – extinguishing equipment; [29(i)] 		
	<ul style="list-style-type: none"> construction employees' facilities; [30] 		
	<ul style="list-style-type: none"> H&S Representative; and 		
	<ul style="list-style-type: none"> other 		
2.2	H&S goals		
	H&S goals that must be achieved for the project and how they relate to the Client's stipulated goals in H&S specifications where these have been stated		
	Monitoring and review of H&S such as H&S goals, targets, key performance indicators, etc.		
2.3	Hazard identification and risk assessments		
	Arrangements for obtaining and using risk assessment information, and the production of method statements		
	The formal acknowledgement by the PC of the hazards and risks outlined in the H&S specification		

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	Does the H&S plan include:	Reference:	Comments:
	Details of how the PC has addressed these hazards and/or risks		
	Inclusion of risk assessment information and production of method statements of contractors		
	Details of the inclusion of measures to deal with current residual risks		
	Description of the process to include new residual risk information		
	Arrangements for activities on or adjacent to the site during the project		
2.4	Design information		
	Measures for on-going design of elements of work and the introduction of new information and management of design changes		
	<ul style="list-style-type: none"> • arrangements for liaison between all parties relative to: • the exchange of design information • dealing with design changes 		
	On-site changes and the potential H&S implications of variation orders (VOs), Requests for Information (RFIs) and Site Instructions		
	Arrangements for possible client continued use of facility		
	Details of how the H&S plan will be enlarged to include each work 'package' as the design and programme continues		
	Arrangements for continuing interaction with the Client where design is on-going		
2.5	Communication and consultation		
	Arrangements for regular liaison between all those working on site to:		
	<ul style="list-style-type: none"> • exchange H&S information • ensure security • ensure site inductions and on-site training • co-ordinate and enforce fire and emergency procedures, prevention and control • enforce site rules • co-ordinate responsibility for shared plant & equipment • co-ordinate and enforce First Aid arrangements and procedures • investigate accidents and incidents 		
	Arrangements for provision of understandable and accessible information to everyone on the job including induction, changing work environmental conditions, and emergencies		
	Arrangements for ensuring every other contractor provides H&S information to their workers and provides necessary training		
	Worker consultation procedures and forums such as required by the OH&SA of 1993		
2.6	Co-operation between contractors		
	Arrangements for identifying where works by one contractor and their assessment and control of risks may affect the works of another contractor		
	Arrangements for co-operation between all contractors such as where the type and frequency of H&S meetings are described		

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	Does the H&S plan include:	Reference:	Comments:
	Arrangements for co-ordinating preventative and control measures where more than one contractor may be exposed to the same risk		
	Co-ordination of H&S surveillance and/or assistance between various contractors		
2.7	H&S Monitoring		
	How is H&S going to be monitored?		
	How is the H&S performance of others especially contractors going to be measured and monitored?		
2.8	H&S Inspections		
	What types and frequency of H&S Inspections are planned?		
	Who is the person who will be responsible for these?		
2.9	H&S Review		
	How is H&S going to be reviewed?		
2.10	Training		
	Arrangements for training of PC's workers, obtaining feedback from workers, giving advice, and the co-ordination of this information		
2.11	Purchasing		
	Procedure for ensuring the competence and adequacy of resources of contractors, suppliers, and manufacturers (prequalification submittals)		
2.12	Site rules		
	Specific site rules and other restrictions on contractors, suppliers and manufacturers such as permit-to-work procedures and arrangements for compliance by others with any rules in the H&S plan		
2.13	Permits		
	Requirements for permits and authorizations		
2.14	Site security and access		
	Security arrangements that include site boundary, security, demarcation such as fencing, enclosures, alarm and warning systems, no-go areas, etc.		
	Arrangements for access to the site by authorised persons only and envisaged steps to prevent access by everyone else including consideration of rights of way and needs of emergency services		
	Access arrangements, including traffic routes, vehicles, doors, traffic booms, and gates that includes details of no-go areas, pedestrian and vehicle segregation, one-way road systems, and route plans		
	Arrangements for permanent and temporary lighting for doing the work and security		
2.15	Deliveries		
	The principal contractor must have arrangements for deliveries, and any restrictions such as delivery times, demarcated/reserved storage areas, loading and unloading areas, working areas for prefabrication in place		
2.16	Construction employees' facilities		
	Provision of construction employees' facilities such as toilets and washing facilities, drinking water, rest facilities, facilities to change, clothing lockers, etc.		
2.17	Waste		
	Arrangements for collection and disposal of waste materials and general debris		

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	Does the H&S plan include:	Reference:	Comments:
2.18	Personal Protective Equipment		
	Personal Protective Equipment (PPE) relative to identification of need for PPE (environmental exposure, medical surveillance requirements, occupational hygiene, hazardous chemical substance exposure), provision, maintenance, storage, training, etc.		
2.19	Working hours		
	Working hours details that include arrangements such as for working at night, after hours, over week-ends, and during holidays		
2.20	Notice boards		
	Arrangements for display of the notifiable particulars on project signboards		
2.21	Emergency and first aid		
	Contact arrangements with external services, particularly first aid, emergency medical care and rescue work (e.g. fire). Emergency procedures and requirements		
2.22	Medical certificates		
	Arrangements to ensure all the employees have valid medical certificates of fitness specific to the construction work to be performed		
2.23	Medical surveillance		
	Arrangements to ensure all medical surveillance are carried out on the project to specific standards and the supporting documentation (Annex 3 & first page of the medical assessment stating fitness for work) are provided		
2.24	Reporting fatality, permanent injury and occupational diseases		
	Procedures following the requirements for reporting a fatality, permanent injury or occupational disease		
2.25	Method statements		
	Arrangements for obtaining and using risk assessment information, and the production of method statements		
	Inclusion of risk assessment information and production of method statements of contractors		
	Arrangements for approval by the PC of method statements prepared by contractors.		
2.26	H&S file		
	Arrangements for inclusions in H&S file		
3	Environmental restrictions and existing on-site risks arrangements		
3.1	Fall protection:		
	Procedures and methods used to mitigate risks for all work carried out from a fall risk position		
3.2	Fall prevention:		
	Prevention of falls		
3.3	Roof work:		
	Ensuring that all roof work is planned and appropriate measures are in place to prevent roof erectors from falling, taking measures to prevent falling		
3.4	Falling objects:		
	Protection from falling objects		
3.5	Structures		
3.5.1	Existing structures:		

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	Does the H&S plan include:	Reference:	Comments:
3.5.1a	<ul style="list-style-type: none"> Dealing with existing buildings with respect to, for example, fire damage, post-tensioned concrete structures, and stability and fragility of existing structures 		
3.5.1b	<ul style="list-style-type: none"> Measures to deal with existing hazardous structures 		
3.5.2	New structures:		
3.5.2a	<ul style="list-style-type: none"> Measures to deal with the prevention of uncontrolled collapse of a structure 		
3.6	Temporary works:		
	Dealing with the design, supervision, erection and dismantling of temporary works structures		
3.7	Excavations:		
3.7.1	Existing services and obstructions:		
3.7.1a	<ul style="list-style-type: none"> Dealing with services, particularly buried or underground services and underground obstructions 		
3.7.1b	<ul style="list-style-type: none"> Water/liquid/gas electrical hazards on or adjacent to the 'site' that require control measures 		
3.7.2	Ground conditions:		
3.7.2a	<ul style="list-style-type: none"> Excavations especially in poor ground conditions 		
3.7.2b	<ul style="list-style-type: none"> Dealing with ground water conditions 		
3.8	Demolition works:		
	Dealing with the demolishing of structures in a controlled manner		
	Dealing with asbestos and lead		
	Dealing with explosives		
3.9	Tunnelling:		
	Prohibition of working in tunnels less than the specified height		
3.10	Scaffolding:		
	The erection of scaffolding under the supervision of a competent person to safety standards		
3.11	Suspended platforms:		
	The design and supervision of suspended platform works operations		
3.12	Rope access work:		
	The carrying out of rope access work under the supervision of a competent person and licensed rope access operators with the proper equipment		
3.13	Material hoists:		
	Lifting and handling operations		
3.14	Bulk mixing plant:		
	The placement, erection, operation, maintenance and repairs of bulk mixing plant		
3.15	Explosive actuated fastening device:		
	Measures to control the authorised use of explosive actuated fastening devices		
3.16	Cranes:		
	Deals with the design, erection, risk assessment and method statement. Measures to ensure bases and rails are firm and cranes are operated by competent and medically fit operators		
3.17	Construction vehicles and plant:		
3.17.1	Maintenance of plant:		
	The maintenance of plant and equipment		
3.17.2	Operation of plant		
	The operation of plant and equipment		
3.18	Electrical installations and machinery:		

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	Does the H&S plan include:	Reference:	Comments:
3.18.1	Electrical installations Temporary electrical installations		
3.18.2	Machinery Inspection of electrical machinery		
3.19	Flammable and hazardous materials: Procedures to control and secure flammable and hazardous materials and substances Storage arrangements for hazardous materials		
3.20	Water environments: Procedures to prevent falling into water and drowning		
3.21	Housekeeping and general safeguarding: Measures for the proper storage of material, removal of waste, disposal of debris from heights and protection of workers and the public from falling objects		
3.21.1	Site security: Measures to provide controlled access and the prevention of unauthorised entry to the site		
3.22	Stacking and storage: The controlled stacking and storage of materials		
3.23	Fire precautions: The measures to prevent the risk of fire, provision of fire-extinguishing equipment and dealing with fire, provision of an evacuation plan		
3.24	Construction employees' facilities: Provision for shower, toilet, eating and sleeping facilities		
3.25	Contaminated land Dealing with contaminated land		
3.26	Client activities (risks) Arrangements for dealing with H&S risks from the activities of Clients or others on site or adjacent to the site		
3.27	Manual handling of materials Manual handling		
3.28	Noise and vibration Measures to reduce the exposure to or effect of noise and vibration Arrangements for dealing with restrictions on noise and other nuisances		
3.29	Working near fragile materials Working with and/or near to fragile materials		
3.30	Traffic planning Traffic routes and the segregation of vehicles and pedestrians		
3.31	Control of dust and mud Dust and mud control and/or cleaning		
3.32	Monitoring of noise, silica and dust levels: Procedures for the monitoring the levels of noise, silica and dust generated by the site operations		
3.33	Confined spaces Measures in place when working in confined spaces, i.e. excavations, entering silos and places in which flammable gases, vapours or dust can cause danger		
4	H&S file		
4.1	Is the layout and format of the H&S File identified?		
4.2	Who in the PCs organization is preparing the H&S File?		
4.3	Are there procedures for getting the information to this person/organisation?		

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	Does the H&S plan include:	Reference:	Comments:
4.4	Is a copy of the construction work permit in the H&S file?		
4.5	Are the details provided of all the parties required on the application for a permit?		
4.6	Is the physical address provided of the construction and site office?		
4.7	Is the nature of the construction work described?		
4.8	Are the commencement and completion date recorded?		
4.9	Is a list provided of the appointed contractors accountable to the principal contractor?		
4.10	Are there procedures to allow the client to ensure that the principal contractor maintains the H&S file		
4.11	Are there 'record' of 'as built' drawings and plans used and produced throughout the project?		
4.12	Is there a copy of the design criteria such as design loadings for structural elements for the project?		
4.13	Are details provided for potential hazards included in the structure e.g. pre or post-tensioned beams or slabs?		
4.14	Are the general details provided of the construction methods and materials used?		
4.15	Are the details provided of the equipment and maintenance facilities within the structure?		
4.16	Are the maintenance procedures and requirements provided for the structure?		
4.17	Is a list and proof of appointment of each contractor for part of the project on the construction site provided?		
4.18	Are there procedures to approve, monitor and review all contractors' H&S files for the project and ensure that the H&S files are available on request to an inspector, the client, the client's agent or the principal contractor?		
4.19	Are Manuals produced by suppliers and specialist contractors, which outline operating and maintenance procedures and schedules for plant and equipment?		
4.20	Are details of the location and nature of utilities and services, including emergency and fire-fighting systems provided?		
4.21	Who is responsible for the 'as-built' drawings?		
4.22	Are there procedures for marking-up drawings to show what has been built where different from original drawings?		
4.23	Are there procedures to ensure that residual risk information for the H&S File is passed on to those who need it?		
5	Project review		
5.1	Provision for project review and applying lessons learned including continuing evaluations of contractor competence		

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Annex C: Checklist to Audit the Implementation of a Health & Safety Plan

The checklist has been designed to guide and support the client with the auditing of the implementation of a principal contractor's H&S plan on the construction site, and not to be a definitive checklist. It could also be used by principal contractors as a guide when preparing for a H&S audit.

Name of Principle Contractor:
Project:
Date of Audit:
Client:
Name of Person undertaking the Audit:

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
				Include comments about the non-compliance with the H&S plan
1	Project information			
	Is there a general description of the type of work activities involved in the project? - not just a description of the construction project			
	Is there a project program or schedule details, including start and finish dates, showing principal activities and intermediate stages?			
	Are details provided of:			
	• client			
	• design team			
	• principal contractor			
	• contractors			
	• major suppliers			
	Are documents available of the extent and location of:			
	• relevant existing records			
	• surveys			
	• site investigation and geotechnical reports			
	• records of 'as-built' drawings			
	• H&S files			
	• Maps			
2	Client requirements for H&S management on project			
2.1	H&S Responsibilities			
	Is there an organizational structure for the project for H&S for the site?			
	Has the principal contractor entered into formal agreements with the persons responsible for H&S on site? [8(1)]; [8(2)]; [8(5)]; [8(7)]; [8(8)]; [9(1)]; [(10)(1)(a)];[12(1)]; [13(1)(a)]; [14(1)]; [16(1)]; [17(1)]; [17(8)(c)]; [18(1)(a)]; [19(8)(a)]; [20(1)]; [21(2)(g)(i)]; [23(1)(d)(i)]; [24(c)]; [28(a)]; [29(h)]			
	Do these persons have the required competency to carry out the H&S role?			
	Has the required H&S appointments been made?			
	• overall responsible person(construction manager); [8(1)]			

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	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	• assistant construction manager; [(8)(2)]			
	• construction supervisor; [8(7)]			
	• competent employees (assisting construction supervisors); [8(8)]			
	• H&S Officer; [8(5)]			
	• responsible persons for:			
	• conducting risk assessments; [9(1)]			
	• work at height/roof; [10]			
	• preparation of fall protection plan; [10(1)(a)]			
	• structures; [11]			
	• temporary works design and inspection; [12(1) and 12(2)]			
	• excavation works; [13(a)]			
	• explosives for excavations; [13(2)(k)]			
	• explosives for demolition work; [14(11)]			
	• demolition work; [14(1)]			
	• asbestos work; [14(9)]			
	• lead work; [14(10)]			
	• tunnelling; [15]			
	• scaffold; [16(1)]			
	• suspended platforms; [17(1)]			
	• rope access work; [18(1)(a)]			
	• operating a material hoist; [19(6)]			
	• erection and maintenance of material hoists; [19(8)(a)]			
	• supervision of bulk mixing plant; [20(1)]			
	• operating a bulk mixing plant; [20(2)]			
	• health and safety in confined spaces; [20(7)]			
	• operation, maintenance and use of explosive actuated fastening device; [21(1)(b); (2)(b); (2)(g)(i),(ii)]			
	• design and erection of tower cranes; [22(a)]			
	• operating a tower crane; [22(e)]			
	• maintaining construction vehicles and mobile plant; [23(1)(b)]			
	• operating construction vehicles and mobile plant; [23(1)(d)(i)]			
	• inspection of construction vehicles and mobile plant; [23(1)(k)]			
	• temporary electrical installations; [24(c)]			
	• inspection of temporary electrical installations; [24(d)]			
	• inspection of electrical machinery; [24(e)]			
	• safe use and storage of flammable liquids; [25]			
	• safe working near water environments; [26]			
	• housekeeping and general safeguarding; [27]			
	• waste collection/disposal; [26(b),(d)]			
	• supervision of stacking and storage; [28(a)]			
	• fire precautions, emergencies / first-aid / fire; [25(c); [29]			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	<ul style="list-style-type: none"> • fire equipment inspection; [29(h)] 			
	<ul style="list-style-type: none"> • use of fire – extinguishing equipment; [29(i)] 			
	<ul style="list-style-type: none"> • construction employees' facilities; [30] 			
	<ul style="list-style-type: none"> • H&S Representative [9(5)] 			
	<ul style="list-style-type: none"> • other 			
2.2	H&S goals			
	Has the principal contractor stated the H&S goals for the site?			
	Has the principal contractor stated how these H&S goals will be achieved?			
	Are these H&S goals in alignment with the client's H&S goals as stated in the H&S specifications?			
	Has the principal contractor identified the person from senior management that is responsible for the review of the H&S goals?			
	Has the principal contractor arrange for monitoring whether the actual H&S goals have been achieved			
	Has the principal contractor achieved the planned targets?			
	If not, has the principal contractor implemented steps to achieve the new targets?			
2.3	Hazard identification and risk assessments			
	Has the principal contractor documented the identified hazards and risk assessment?			
	Has the principal contractor identified high risks areas on the site?			
	Did the principal contractor use the information obtained from the HIRA to design the method statements for each of these high risk areas?			
	Is there a record of formal acknowledgement by the PC of the identified hazards and assessed risks?			
	Is there a record of the details how the PC addressed these hazards or risks?			
	Does the PC have a record of the assessed risks for each contractor on the project?			
	Does the principal contractor have measures in place to deal with residual risks on the site?			
	Does the principal contractor have procedures in place should new residual risks be identified?			
	Are there procedures in place for dealing with client activities or those activities adjacent to the site?			
2.4	Design information			
	Does the principal contractor have measures in place to capture on-going design elements of work			
	Does the principal contractor have measures in place to manage design changes?			
	Does the principal contractor have arrangements in place for liaison between all parties relative to:			
	<ul style="list-style-type: none"> • the exchange of design information? 			
	<ul style="list-style-type: none"> • deal with design changes 			
	<ul style="list-style-type: none"> • deal with VOs? 			
	<ul style="list-style-type: none"> • deal with Request for Information? 			
	<ul style="list-style-type: none"> • deal with site instructions? 			
	Does the principal contractor have arrangements in place for the continued use of facility by the client?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Has the principal contractor made arrangements to capture and include the additional work packages in line with the on-going design and programme			
	Does the principal contractor have a record of interaction with the client as the design continues?			
2.5	Communication and consultation			
	Does the principal contractor have records of regular liaison between those on site:			
	• exchange H&S information			
	• ensure security			
	• ensure site inductions and on-site training			
	• co-ordinate and enforce fire and emergency procedures, prevention and control			
	• enforce site rules			
	• co-ordinate responsibility for shared plant & equipment			
	• co-ordinate and enforce First Aid arrangements and procedures			
	• investigate accidents and incidents			
	Is the principal contractor making information accessible to everyone on site?			
	Are these interactions with the contractors documented?			
	Is the principal contractor ensuring that the contractors are providing H&S information to their workers?			
	Is it documented?			
	Has the principal contractor established an H&S Forum?			
	Is the principal contractor using this Forum as a platform for H&S consultation and communication?			
	Are these consultations and communication documented?			
2.6	Co-operation between contractors			
	Has the principal contractor put measures in place to mitigate the risks where one contractor affects the work of another contractor?			
	Did the principal contractor have H&S meetings between contractors, i.e. when were they held?			
	Does the principal contractor have procedures in place to co-ordinate preventative and control measures where contractors are exposed to the same risks?			
	Does the principal contractor have procedures in place to co-ordinate H&S surveillance and assistance to the contractors?			
2.7	H&S Monitoring			
	Does the principal contractor have procedures in place to monitor H&S on the site?			
	Does the principal contractor have procedures in place to monitor the H&S performance of contractors?			
2.8	H&S Inspections			
	Are the types of inspections described?			
	Are the intervals of inspections indicated?			
	Are the results of the inspections recorded?			
	Are the non-conformances referred to be addressed?			
	Are there rectifications in place to deal with the non-compliances?			
	Have these non-conformances been closed-out?			
	Is the responsible person carrying out the inspections identified?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
2.9	H&S Review			
	Are there procedures in place to review H&S on site?			
	Is the responsible person carrying out the review identified?			
2.10	Training			
	Are there arrangements in place for training of PC's workers, obtaining feedback from workers, giving advice, and the co-ordination of this information?			
2.11	Purchasing			
	Are procedures in place to select competent contractors, suppliers and other service providers on site?			
2.12	Site rules			
	Are the site rules clearly communicated and available to the principal contractor's workers, contractors, material suppliers and visitors?			
	Are these documented?			
2.13	Permits			
	Are the requirements for permits and work authorizations communicated to the principal contractor's staff and contractors?			
	Have the necessary permits been obtained before the start of the work?			
2.14	Site security and access			
	Has the principal contractor secured the site, i.e. fencing and no-go areas and protection of the public?			
	Are there procedures for allowing only authorised person on site and prevention of unauthorised access?			
	Are there access arrangements for traffic to the site?			
	Are there arrangements for permanent and temporary lighting for doing the work and security?			
2.15	Deliveries			
	Are there arrangements for deliveries?			
2.16	Construction employees' facilities			
	Are there arrangements for construction employees' facilities on site?			
2.17	Waste			
	Is there arrangement for waste management and removal?			
2.18	Personal Protective Equipment			
	Is there a PPE policy for the use of PPE?			
	Is training provided for its use, maintenance and storage?			
2.19	Working hours			
	Are permits, authorisations and policies available for working outside normal hours?			
2.20	Notice boards			
	Are notifiable information displayed on notice boards			
2.21	Emergency and first aid			
	Contact arrangements with external services, particularly first aid, emergency medical care and rescue work (e.g. fire). Emergency procedures and requirements			
2.22	Medical certificates			
	Are arrangements in place to ensure all the employees have valid medical certificates of fitness specific to the construction work to be performed?			
2.23	Medical surveillance			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Are arrangements in place to ensure all medical surveillance are carried out on the project to specific standards and the supporting documentation (Annex 3 & first page of the medical assessment stating fitness for work) are provided			
2.24	Reporting fatality, permanent injury and occupational diseases			
	Are procedures in place that are in line following the requirements for reporting a fatality, permanent injury or occupational disease			
2.25	Method statements			
	Are the activities identified in the risk assessments being constructed according to the approved method statements?			
	Are the activities identified in the risk assessments being constructed by contractors according to the approved method statements?			
	Is there a record of approval by the PC of the contractors' method statements?			
2.26	H&S file			
	Is the H&S file up to date?			
3	Environmental restrictions and existing on-site risks arrangements			
3.1	Fall protection:			
	Has a fall protection plan been prepared?			
	Has the plan been developed by a competent person?			
	Are arrangements in place to amend the plan where necessary?			
	Has a risk assessment of the work carried out been done?			
	Is there a process in place to evaluate the employees' medical fitness?			
	Is there a programme for the training of employees working from a fall risk position?			
	Is there a procedure addressing the inspection, testing and maintenance of fall protection equipment?			
	Is there a rescue plan in place			
3.2	Fall prevention:			
	Is there a policy in place for the prevention of falls?			
	Is there a procedure in place for the prevention of falls?			
	Are the required fall prevention measures in place?			
	Has a competent person signed off the fall prevention interventions?			
	Is there a record of these activities have been carried out?			
3.3	Roof work:			
	Has the roof work been properly planned?			
	Are the roof rectors competent?			
	Are measures in place to deal with openings and fragile materials?			
	Are protection measures in place to prevent workers from falling? i.e. guard-rails, barriers and toe-boards			
3.4	Falling objects:			
	Protection from falling objects			
	Is there a policy in place for the prevention of injuries from falling objects?			
	Is there a procedure for preventing injuries as a result of falling objects?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Are the workers being provided with protective clothing, i.e. hard hats?			
	Did the workers receive training to prevent injury from falling objects?			
3.5	Structures			
3.5.1	Existing structures:			
	Are there procedures in place for dealing with existing buildings with respect to, i.e. fire damage, post-tensioned concrete structures, and stability and fragility of existing structures			
	Has a competent person inspected and assessed the structure and provided measures for safe working?			
	Are there procedures in place to deal with existing hazardous structures?			
3.5.2	New structures:			
	Are there procedures in place to prevent uncontrolled collapse of new structures which may become unstable?			
	Are these checks being carried out by a competent person?			
3.6	Temporary works:			
	Are there procedures in place to deal with temporary works, i.e. support work, scaffolding and shoring of excavations?			
	Has the temporary works been designed by a competent person to the required standards?			
	Has the procedures been followed when erecting support work, scaffolding or shoring of excavations			
	Has the temporary works been inspected and signed off as safe before it is being used?			
	Is there a record that the required procedures were followed?			
3.7	Excavations:			
	Is there a policy for working in poor ground conditions?			
	Are there procedures for working in excavations in poor ground conditions?			
	Has the measures to secure the excavation been designed to accepted standards by a competent person?			
	Is there a policy for working in deep excavations			
	Are there procedures for working in deep excavations?			
	Has the measures to secure the excavation been designed to accepted standards by a competent person?			
3.7.1	Existing services and obstructions:			
	Is there a policy for dealing with existing underground services and obstructions?			
	Is there a procedure for dealing with existing underground services and obstructions			
3.7.2	Ground conditions:			
	Are there procedures in place for dealing with ground water?			
3.8	Demolition works:			
	Has a competent person been appointed to supervise and control the demolition works?			
	Has a detailed structural survey been carried out and a method statement developed by the competent person?			
	Has adequate shoring been placed to prevent accidental collapse of the structure or adjoining structure?			
	Has the shoring been designed by a competent person?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Has the existing services been allocated and made safe for persons to woe			
	Has appropriate lighting been provided?			
	Are there appropriate measures in place to protect entrances or passageways to protect persons from falling objects?			
	Has chutes been properly placed to dispose of waste and debris from a high place?			
	Are processes in place to determine whether existing floors can support the working equipment?			
	Are asbestos related work carried out in accordance with the Asbestos Regulations, 2001?			
	Are lead related work carried out in accordance with the Lead Regulations, 2001?			
	Has a method statement been carried out by a competent person in the event of the use of explosives?			
3.9	Tunnelling:			
	Are there measures in place to prevent persons from entering tunnels less than 800 millimetres in height?			
3.10	Scaffolding:			
	Has the scaffolding work operations been carried out under the supervision of a competent person?			
	Are the scaffold erectors, team leaders and inspectors competent?			
	Has the scaffolding been signed off as safe by the competent person and that it complies with the safety standards			
3.11	Suspended platforms:			
	Has a competent person been assigned to supervise all suspended platform work?			
	Are the suspended platform erectors, operators and inspectors competent?			
	Has the suspended platform been designed by a competent person?			
	Is there a copy of the certificate of system design to use the suspended platform?			
	Is there an operational compliance plan			
	Has the plan been developed by a competent person?			
	Has a copy of the certificate of system design been submitted to the provincial director?			
3.12	Rope access work:			
	Has a competent person been appointed as a rope access supervisor			
	Are there measures in place to ensure that all rope access operators are competent and licensed?			
	Are there processes and procedures in place to ensure that the design, selection and use of equipment and anchors comply with the safety standards?			
	Has a site specific fall protection plan been developed by a competent person?			
	Are there measures in place to allow rescue procedures to start should a fall incident occur?			
3.13	Material hoists:			
	Lifting and handling operations:			
	Is there a policy that deals with lifting and handling operations?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Is there a procedure that deals with lifting and handling operations?			
	Are the operators competent to operate the lifting plant?			
	Do the operators have the required licences to operate the plant?			
3.14	Bulk mixing plant:			
	Has a competent person been appointed to supervise the operation of a bulk mixing plant?			
	Are procedures and processes in place to place and erect the bulk mixing plant as designed?			
	Are measures in place to ensure that all devices to start and stop a bulk mixing plant are provided?			
	Are measures in place to prevent persons from being injured by moving parts?			
	Are there procedures in place to allow only authorised persons to remove or modify any guard?			
	Are records kept of all repairs or maintenance to the bulk mixing plant?			
3.15	Explosive actuated fastening device:			
	Are provisions made for protective equipment for the users of explosive actuated fastening devices?			
	Is the user trained in the operation and maintenance of the device?			
	Are procedures in place for the safe use, maintenance, storage, issuing and collection of the device and cartridges?			
3.16	Cranes:			
	Has the crane been designed and erected by a competent person?			
	Has a relevant risk assessment been conducted?			
	Has a method statement been developed?			
	Has provision been made to fit a wind speed device to alert the operator when wind speeds are exceeded?			
	Are there procedures in place to ensure that the bases and tracks have been levelled and secured?			
	Are there measures in place ensure that only that only a competent tower crane operator is authorised to operate a tower crane?			
	Are there measures in place that ensure that tower crane operators have a medical certificate of fitness?			
3.17	Construction vehicles and plant:			
3.17.1	Operation of plant			
	Does the policy describe:			
	the operation of construction vehicles and mobile plant by only trained and certified competent persons?			
	that all operators must have a medical certificate of fitness to operate construction vehicles and mobile plant			
	the safe use of vehicles and plant?			
	the actions to be taken when plant are not in use or parked at night?			
	The transporting of workers to and from site?			
3.17.2	Maintenance of plant:			
	Is there a policy for the maintenance and the inspection of construction vehicles and mobile plant?			
3.18	Electrical installations and machinery:			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
3.18.1	Temporary electrical installations			
	Is there a policy in place that deals with temporary electrical installations?			
	Are procedures in place to install temporary electrical installations?			
	Have these procedures been followed when installing electrical works?			
	Do the person/persons have the required licence to do the electrical installations?			
	Has the installations been signed off by a licenced electrician?			
3.18.2	Electrical machinery			
	Has the electrical machinery been inspected by the authorized operator or user?			
3.19	Flammable and hazardous materials:			
	Are there procedures for the control and securing of flammable and hazardous material?			
	Is there a safety data sheet indicating hazardous materials on site?			
	Is there a register for hazardous material on site?			
	Are these materials safely stored?			
3.20	Water environments:			
	Are provisions made for preventing persons from falling into water?			
	Are measures in place to rescue persons from drowning?			
	Has provisions been made for the issuing of life jackets?			
3.21	Housekeeping and general safeguarding:			
	Are there arrangements for the proper storage of materials?			
	Are there arrangements for the removal of waste and scrap?			
	Are materials place in a manner that does not cause obstruction?			
	Is the disposal of waste and debris controlled from high places by means of proper chutes?			
	Is the site fenced off to control access to the site?			
	Are measures in place at entrances or passageways that prevent injury to persons from falling objects?			
3.22	Stacking and storage:			
	Is the stacking and storage been supervised by a competent person?			
	Is adequate storage space being provided?			
	Are the storage areas demarcated?			
	Are storage areas kept neat and under control?			
3.23	Fire precautions:			
	Are appropriate measures taken to avoid the risk of fire?			
	Are sufficient and suitable storage provided for flammable liquids, solids, gases?			
	Are non-smoking signs placed near these stores?			
	Are welding operations carried out after precautionary measures have been taken?			
	Are sufficient fire-extinguishing equipment placed at appropriate intervals?			
	Is the fire equipment inspected by a competent person?			
	Is there sufficient number of workers trained to use the fire-extinguishing equipment?			
	Are suitable signs provided to indicate escape routes?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
	Is there an effective evacuation plan?			
3.24	Construction employees' facilities:			
	Is sufficient number of shower facilities provided?			
	Are sufficient sanitary facilities for each sex provided?			
	Are appropriate changing facilities provided for each sex?			
	Are appropriate shelters provided for eating?			
3.25	Contaminated land			
	Are there procedures in place for dealing with contaminated land?			
3.26	Client activities (risks)			
	Are there procedures in place for dealing with client activities or those activities adjacent to the site?			
3.27	Manual handling of materials			
	Are there policies in place for manual handling of material?			
3.28	Noise and vibration			
	Are there measures in place to reduce the exposure or effect of noise and vibration?			
	Are there arrangements in place to deal with restrictions of noise and other nuisances?			
3.29	Working near fragile materials			
	Is there a policy in place when working with and/or near to fragile materials?			
	Is there a procedure when working with or near fragile materials?			
3.30	Traffic planning			
	Is there a traffic plan available?			
3.31	Control of dust and mud			
	Is there a policy in place for dealing with dust?			
	Is there a policy in place for dealing with mud being carried on the public road?			
3.32	Monitoring of noise, silica and dust levels:			
	Are procedures in place for monitoring the levels of noise, silica and dust generated by the site operations?			
3.33	Confined spaces			
	Are there procedures in place for dealing with confined spaces?			
4	H&S file			
4.1	Is the H&S file in the required layout and format?			
4.2	Has a person responsible for the compilation of the H&S file been assigned?			
4.3	Are there procedures in place for disseminating H&S information to the responsible person?			
4.4	Is a copy of the construction work permit in the H&S file?			
4.5	Are the details provided of all the parties required on the application for a permit?			
4.6	Is the physical address provided of the construction and site office?			
4.7	Is the nature of the construction work described?			
4.8	Are the commencement and completion date recorded?			
4.9	Is a list provided of the appointed contractors accountable to the principal contractor?			
4.10	Are there procedures to allow the client to ensure that the principal contractor maintains the H&S file?			

Draft

	Is the principal contractor complying with the H&S plan for the site?	YES	NO	Comments:
4.11	Is there a 'record' of 'as built' drawings and plans used and produced throughout the project?			
4.12	Is there a copy of the design criteria such as design loadings for structural elements for the project?			
4.13	Are details provided for potential hazards included in the structure e.g. pre or post-tensioned beams or slabs?			
4.14	Are the general details provided of the construction methods and materials used?			
4.15	Are the details provided of the equipment and maintenance facilities within the structure?			
4.16	Are the maintenance procedures and requirements provided for the structure?			
4.17	Is a list and proof of appointment of each contractor for part of the project on the construction site provided?			
4.18	Are there procedures to approve, monitor and review all contractors' H&S files for the project and ensure that the H&S files are available on request to an inspector, the client, the client's agent or the principal contractor?			
4.19	Is a copy of the construction work permit in the H&S file?			
4.20	Are Manuals produced by suppliers and specialist contractors, which outline operating and maintenance procedures and schedules for plant and equipment?			
4.21	Are details of the location and nature of utilities and services, including emergency and fire-fighting systems provided?			
4.22	Are the as-built drawings recorded in the H&S file?			
4.23	Are there procedures in place to ensure residual risks information is passed on to those who need it?			
5	Project review			
5.1	Has the project been reviewed and applying lessons learned documented?			
	Is contractor competence continually being evaluated?			