



Audit Report for Cammack And Wilcox Limited (58618)

Achilles Product	UVDB V1.1 Verify B2
Auditor	Theresa Lowe
First Date of Audit	17 Jul 2019
Last Date of Audit	18 Jul 2019
Supplier Address	The Old Works, 29A Doddington Road, Wollaston, Northampton, Northamptonshire, NN29 7PR, UNITED KINGDOM
Site Location	The Old Works, 29A Doddington Road, Wollaston, Northampton, Northamptonshire, NN29 The Old Works, 29A Doddington Road, Wellingborough, NN29 7PR

Introduction and Overview

Company Background

The Company were established in 1983 and undertook liquid collection and disposal for domestic and commercial customers. The Company operated a fleet of tankers and also had specialist jetting and transfer machinery. Services included: septic tank emptying, cesspool and cesspit emptying, liquid waste management, oil interceptor emptying, gully trap emptying, sewage tank cleaning and offered a 24/7 emergency call out service. Main clients included: Anglian Water, F&R Cawley and Alpheus. Geographic scope of work was predominantly within the East Midlands area. At the time of audit, the Company directly employed 32 staff and did not utilise the services of subcontractors. Annual turnover achieved within the last 12 months was approximately £2.5m .

Audit Details

The site verification visit took place at Great Billing STW 23 Crow Lane, Northampton, NN3 9BX. The Company were working in the capacity of Contractor using a Rigid Tanker (T475 ARM) for the transporting, unloading and disposing of sewage effluent at the licenced sewage treatment works in accordance with RAMS document entitled 'Planned Works' EHSQ100 dated June 2018 and documentation contained within the Vehicle Cab Folder. The Company were registered Waste Carriers and held a license to Discharge Domestic Waste. The audit was attended by 1 Driver Operative.

Summary of Findings

Critical Non Conformances:	0
Major Non Conformances:	2
Minor Non Conformances:	0
Positive Elements:	0

Scoring Summary

Discipline Scores

	Score
MSE Health and Safety	100%
MSE Environmental	100%
MSE Quality	100%
MSE CSR	88%
Site Health and Safety	100%
Site Environmental	100%
Site Quality	100%
Site CSR	0%
Overall MSE Score	97%
Overall Site Score	75%

Section Scores - MSE

	Score
System Assurance and Compliance - Environmental	100%
System Assurance and Compliance - Health and Safety	100%
System Assurance and Compliance - Quality	100%
Quality Control and Assurance	100%
Business Integrity and Ethics	50%
Employment Practice and Human Rights	100%
Training and Capability / Competence Assessment	100%
Working Hours	100%
Workplace Safety	100%
Occupational Health	100%
Emergency Planning	100%
Site Security	100%
Business Continuity	100%
Environmental Management	100%
Waste Management	100%
Selection and Management of Supply Chain	100%
Sourcing of Goods and Products	100%
Use of Work Equipment, Vehicles and Machines	100%
Insurance and Warranty	100%

Section Breakdown - Site

	Score
System Assurance and Compliance	100%
Quality Control and Assurance	100%
Business Integrity and Ethics	0%
Training and Capability / Competence Assessment	100%
Workplace Safety	100%
Environmental Management	100%
Use of Work Equipment, Vehicles and Machines	100%

Non-compliances

Critical Non-compliances

None

Major Non-compliances

- 1.3.2:** The Company were unable to demonstrate a formal procedure or process detailing how an employee can make a formal complaint of improper conduct in confidence.
- 2.3.2:** The Company were unable to demonstrate a formal procedure / process detailing how an employee can make a formal complaint of improper conduct in confidence.

Minor Non-compliances

None

Positive Elements

None

PQQ Discrepancies

None

Detailed Analysis

0.1: Company introduction

Please give a brief overview of the company

The Company were established in 1983 and undertook liquid collection and disposal for domestic and commercial customers. The Company operated a fleet of tankers and also had specialist jetting and transfer machinery. Services included: septic tank emptying, cesspool and cesspit emptying, liquid waste management, oil interceptor emptying, gully trap emptying, sewage tank cleaning and offered a 24/7 emergency call out service. Main clients included: Anglian Water, F&R Cawley and Alpheus. Geographic scope of work was predominantly within the East Midlands area. At the time of audit, the Company directly employed 32 staff and did not utilise the services of subcontractors. Annual turnover achieved within the last 12 months was approximately £2.5m .

0.2: Site description

Please give a brief description of the site

The site verification visit took place at Great Billing STW 23 Crow Lane, Northampton, NN3 9BX. The Company were working in the capacity of Contractor using a Rigid Tanker (T475 ARM) for the transporting, unloading and disposing of sewage effluent at the licenced sewage treatment works in accordance with RAMS document entitled 'Planned Works' EHSQ100 dated June 2018 and documentation contained within the Vehicle Cab Folder. The Company were registered Waste Carriers and held a license to Discharge Domestic Waste. The audit was attended by 1 Driver Operative.

0.3: Audit Date(s)

First Date of Audit:	17 Jul 2019
Last Date of Audit:	18 Jul 2019

0.5: Site address (where applicable)

First Line of Address:	The Old Works, 29A Doddington Road, Wollaston, Northampton, Northamptonshire, NN29 The Old Works
Second Line of Address:	29A Doddington Road
Town:	Wellingborough
Postcode:	NN29 7PR

0.6: Auditee Details

Auditee Name: Jasmine Adams

Auditee Job Description: EHS Coordinator

1.1 System Assurance and Compliance

Section Score: 12

1.1.1: Can the company demonstrate that their Quality Management Systems are assured?

3 - Compliant

Does the company have any formal 3rd party certification for their management systems as awarded by an independent accreditation body for quality, health and safety, environment or social responsibility? No

Does the company's accreditation apply to more than one country if the company has international operations? (if yes please detail countries) Yes

Is the accrediting body registered with UKAS or other international equivalent? N/A

Where 3rd party accreditation has not been achieved is the company prepared to operate adopt their clients Quality, Health & Safety and Environmental Management Systems? Yes

Question Evidence

The company had in place a formally documented management system for Health, Safety, Quality and Environment which was seen to be written in accordance with ISO 9001:2015, ISO 14001:2015 and HS(G)65. The system had not been certified to these standards at the time of audit. The Company confirmed that where required they will adopt their Clients management systems.

Documents Presented

HSEQ Management System dated April 2018 Safety Management System Manual dated July 2018

1.1.2: Can the company demonstrate that their Health & Safety Management Systems are assured?

3 - Compliant

Does the company have any formal 3rd party certification for their management systems as awarded by an independent accreditation body for quality, health and safety, environment or social responsibility? No

Does the company's accreditation apply to more than one country if the company has international operations? (if yes please detail countries) N/A

Is the accrediting body registered with the UKAS or other international equivalent? Yes

Where 3rd party accreditation has not been achieved is the company prepared to operate adopt their clients Quality, Health & Safety and Environmental Management Systems? Yes

Question Evidence

The company had in place a formally documented management system for Health, Safety, Quality and Environment which was seen to be written in accordance with ISO 9001:2015, ISO 14001:2015 and HS(G)65. The system had not been certified to these standards at the time of audit. The Company confirmed that where required they will adopt their Clients management systems.

Documents Presented

HSEQ Management System dated April 2018 Safety Management System Manual dated July 2018

1.1.3: Can the company demonstrate that their Environmental Management Systems are assured?

3 - Compliant

Does the company have any formal 3rd party certification for their management systems as awarded by an independent accreditation body for quality, health and safety, environment or social responsibility?	No
Does the company's accreditation apply to more than one country if the company has international operations? (if yes please detail countries)	N/A
Is the accrediting body registered with the UKAS or other international equivalent?	Yes
Where 3rd party accreditation has not been achieved is the company prepared to operate adopt their clients Quality, Health & Safety and Environmental Management Systems?	Yes

Question Evidence

The company had in place a formally documented management system for Health, Safety, Quality and Environment which was seen to be written in accordance with ISO 9001:2015, ISO 14001:2015 and HS(G)65. The system had not been certified to these standards at the time of audit. The Company confirmed that where required they will adopt their Clients management systems.

Documents Presented

HSEQ Management System dated April 2018 Safety Management System Manual dated July 2018

1.1.4: Can the company demonstrate compliance with the Construction, Design and Management (CDM) Regulations?

N/A

Does the company undertake any activities that fall under the CDM regulations?	N/A
Has the company identified and documented its responsibilities as defined within the CDM regulations and relationship with the Client? e.g. Principal Designer, Designer, Principal Contractor? (i.e. CPP available to view at work site?)	N/A
Do company management systems clearly identify processes for meeting and discharging duties as required by the CDM regulations? I.e. including suitable / sufficient welfare facilities, hot wash, rest areas, drying facilities.	N/A

Question Evidence

The Company provide liquid collection and disposal for domestic and commercial customers and the scope of works did not fall under the requirements of the CDM Regulations 2015

Documents Presented

Not a requirement for the Company

1.1.5: Has the company identified all permit and licensing requirements applicable to the scope of services provided?

3 - Compliant

Has the company identified the necessary licenses and permits applicable to the scope of services provided (i.e. Goods Vehicles Operators Licence, Correct tier waste licence for scope of services)? Yes

Can the company demonstrate that all applicable licenses and permits are held and in date? Are copies available on site? Yes

Can the company demonstrate it is implementing the requirements of each permit or license that is held? Yes

Question Evidence

The Company demonstrated suitable arrangements in place to ensure the business complies with any relevant permitting and licensing requirements as well as ensuring compliance with relevant legislation. The Company were registered under the Waste (England and Wales) Regulations 2011 as an Upper Tier Waste Carrier, Broker and Dealer and held a license to Discharge Domestic Waste. The Company were also seen to hold a valid Goods Vehicle Operators Licence in respect of their vehicle fleet (23 motor vehicles and 15 trailers).

Documents Presented

Upper Tier Waste Carrier and Dealer Licence - Registration Number CBDU126856 expires 09/09/2019. License to Discharge Domestic Waste No. 2915441 - Licence Period 01/04/19 to 31/03/20 Goods Vehicle Operators Licence OF0224933 Issued 12/08/11

1.2 Quality Control and Assurance

Section Score: 27

1.2.1: Does the company have a formally approved Quality Management policy statement?

3 - Compliant

Is the policy statement signed and endorsed at Senior Management level (i.e. signed-off at Director Level)? Yes

Does the policy relate to the company activities? Yes

How does the company communicate policies to all employees, contractors and other interested parties, both initially and following any changes? Yes

Is the period for review documented? Yes

Question Evidence

The Company had in place a formal Quality Assurance Policy Statement signed by the Managing Director and dated August 2018. The policies were seen to be displayed on Company noticeboards and communicated via the Company Website. All policies were also seen to be available via Vehicle Cab Folders and briefed as part of the Company Induction Process. The Company stated that the policies are reviewed annually.

Documents Presented

Quality Policy Statement dated August 2018 Induction Records Visual Verification of Website, Noticeboards and Vehicle Cab Folder

1.2.2: Has the company formally appointed a representative who has responsibility for Quality management within the company?

3 - Compliant

Have the competency requirements been clearly documented? Yes

Are responsibilities formally defined, assigned and recorded? Yes

Question Evidence

The Managing Director was ultimately responsible for Quality Management within the business and was supported by the EHS Coordinator as the nominated management representative. The roles and responsibilities for the management representative were seen to be detailed within the Quality Policy Statement, Organisation Structure and supporting Job Descriptions which defined the requirements and accountabilities of the role.

Documents Presented

Quality Policy Statement dated August 2018 Organisation Structure dated July 2019 Job Description - EHS Coordinator

1.2.3: Does the company use processes or systems for the management and control of documented Information?

3 - Compliant

Is there a documented management procedure for the control of documented information? Yes

Does the documented information control system identify the key documented information requiring management? Yes

Is there a process in place for withdrawing and re-issuing of updated documents? Yes

Are the following controls included: distribution, access, retrieval, retention and change control? Yes

Is there a process or system in place for the secure disposal of confidential documentation? Yes

Question Evidence

The Company had in place a documented procedure within the Quality management system to address document and data control within the management systems. Documents were uniquely identified and the procedure defined creation, amendment, disposal and archiving methodology. The EHS Coordinator was identified as the document controller within the business. Obsolete documents and any confidential documents were shredded.

Documents Presented

036 Document Control Procedure dated August 2018 EHSQ Document Register

1.2.4: Does the company have documented processes for the control and production of quality control plans and procedures, inspection and testing documentation and for the assurance of the competence of staff involved?

3 - Compliant

Does specific Quality Control documentation (as applicable) fall within the scope of the company's documented Information control process (i.e. are ITPs available at site)? Yes

Does the company undertake any analysis to monitor the effectiveness of the procedures and processes in place, including site inspections and testing? Yes

Question Evidence

Projects were defined through Client requests for works and recorded in a day sheet with each driver informed via an online messaging service (Esendex) which connects with the Drivers NAVMAN sat nav systems within the Company vehicles. The message identifies the works location and nature of the works required. Within the office, the Company use a Driver Day Schedule in conjunction with the Day Sheet to track and monitor scheduled works. Upon arrival at the job, the driver completes a Waste Liquid Disposal Sheet to confirm the activity. Internal checking and audit procedures were in place to monitor the process effectiveness.

Documents Presented

Day Sheet dated 17/07/19 Driver Day Schedule Waste Liquid Disposal Sheet 72401 dated 20/06/19 Visual Verification of

1.2.5: Does the company have a controlled and documented process for the handover of completed works?

3 - Compliant

Does the company manage the documentation and process of completion of agreed contractual work? Yes

Question Evidence

The Company demonstrated examples of completed Waste Liquid Disposal Sheets which were documented upon arrival at Client Site by the Driver and signed off upon completion of the job by the Customer. Transfer dockets were retained for a 7 year period then disposed off by shredding.

Documents Presented

Waste Liquid Disposal Sheet 72401 dated 20/06/19

1.2.6: How does the company guarantee the confidentiality, availability and integrity of information and supporting IT systems?

3 - Compliant

Does the company have third party certification for IT management? e.g. ISO/IEC 27001 Yes

Is electronic information backed up on site or remotely? Yes

Does the company utilise a third party to store confidential data? Yes

Does the company have protective systems in place to reduce the occurrence of malicious software/IT downtime? Yes

Does the company have a process or procedure relating to the back up of confidential data? Yes

Question Evidence

The Company demonstrated that there are formal controls documented in relation to data management. These include password protocols, daily system back up arrangements by the company's external third party IT support team and virus control on servers, desktop and laptop computers.

Documents Presented

SLA External IT Consultant - RISC Solutions Social Media Policy Data Protection Policy Employee Handbook

1.2.7: Does the company have in place an internal auditing / inspection programme?

3 - Compliant

- | | |
|--|-----|
| Are the audits at regular/programmed intervals? | Yes |
| Has the company specified a minimum competency level for personnel undertaking audits / inspections? | Yes |
| Does the company ensure all areas of the business are covered by this programme? | Yes |
| Does the internal audit process include contract / customer specific requirements? | Yes |

Question Evidence

The Company had in place a documented process for Internal audits within the Management System Manuals. An Audit Programme had been put into effect and detailed the frequency and depth of audits across the business. Each area of the business was included within the audit function. Audits included customer specific requirements. Evidence of audits and inspections was verified.

Documents Presented

022 Internal Audit Procedure dated August 2018 Internal Audit Schedule Internal Documentation Audit Form Internal Audit Social Media Policy dated 18/06/18 Vehicle Audit Checklist dated 02/05/19 Yard Audit dated 13/07/19

1.2.8: Does the company have a management process in place to review nonconformities and findings identified within first, second and third party audit programmes?

3 - Compliant

- | | |
|--|-----|
| Are key personnel assigned to ensure findings are closed out? | Yes |
| Is a register kept of all outstanding issues and is it subject to regular review? | Yes |
| Does the company have a mechanism in place to manage / control the close out of audit findings? | Yes |
| Does the company have processes in place to manage / control the close out of defects / NCRs to satisfy applicable designs / specifications? | Yes |
| Is an analysis of findings communicated to the relevant departments and nominated management team / representatives as part of an overall improvement programme? | Yes |

Question Evidence

Audit findings were seen to be recorded within the report template and transferred to an Action Tracker document. Non-conformances were then assigned to management to investigate and rectify. The EHS Coordinator monitored the progress of the non-conformances to ensure close out and the action taken. NCR data was seen to be discussed during monthly management meetings.

Documents Presented

022 Internal Audit Procedure dated August 2018 Action Log and Tracker Management Review Meeting dated 13/12/18

1.2.9: Does the company utilise information / data obtained as a result of the internal audit / inspection programme to improve business process?

3 - Compliant

Is analysis of evidence/findings communicated to the relevant departments/nominated management representatives as part of an overall improvement programme? Yes

Is the information communicated to stakeholders /shareholders and the management team (Post Analysis)? Yes

Question Evidence

The Company undertake ongoing analysis of audit findings as part of their monthly Management Review Meetings. Information and data from meetings was disseminated across the business via bulletins, emails and training where required.

Documents Presented

022 Internal Audit Procedure dated August 2018 Management Review Meeting dated 13/12/18

1.3 Business Integrity and Ethics

Section Score: 3

1.3.1: Does the company have a formal procedure in place in the event a member of the workforce breaches company policy regarding bribery, soliciting for money, intimidation or extortion for monetary gain in order to influence decision making?

3 - Compliant

Does the procedure define a clear and logical structure of how the company would deal with potential problems such as this? Yes

Would the company involve the police in the event the policy is breached? Yes

Do workers sign a declaration agreeing that they have read and understood the content and will abide by the policy? Yes

Question Evidence

The Company demonstrated an Anti Theft, Fraud, Bribery and Corruption Policy was in place, the policy was available on the computer network and briefed within the Company Induction. Details of policy briefing were also recorded within the Company training matrix. The policy covered gifts and hospitality, cash payments, charitable donations, political donations, facilitation payments, record-keeping and responsibilities. The Company demonstrated that employees had signed a declaration to confirm that they have read and understood and will abide by the policy.

Documents Presented

Anti Theft, Fraud, Bribery and Corruption Policy dated 04/06/19 Induction Records Training Matrix

1.3.2: If a worker advises senior management of improper conduct, can the company demonstrate that the worker would be protected and the information treated confidentially ("whistle blowing" policy)?

0 - Major non compliance (no evidence)

Is there a formal process / procedure that demonstrates how a worker can make a formal complaint in confidence? No

Is the complaint reported to an independent party? No

Can the company demonstrate how the policy has been communicated to all categories of worker? No

Question Evidence

The Company were unable to demonstrate a formal procedure or process detailing how an employee can make a formal complaint of improper conduct in confidence.

Documents Presented

No evidence provided.

1.4 Employment Practice and Human Rights

Section Score: **12**

1.4.1: Is there a process or system to ensure that personnel recruited are entitled to work in the country of operation?

3 - Compliant

Can the company demonstrate understanding of the relevant laws regarding the employment of workers who are not from the country of operation? Yes

Are all legal requirements followed when employing workers who have the legal ability to work within the country of operation e.g. as specified through the Asylum, Immigration and Nationality Act? Yes

Is evidence used to validate the individual's identity and eligibility to work such as; birth certificates, passports, identity cards, social security numbers etc.? Yes

Does the company retain evidence of entitlement to work for at least 3 years after the individual has left the employer? Yes

Were personnel files available for sampling? Yes

Question Evidence

The Company undertake checks to ensure that all personnel are entitled to work in the UK. A formal process was seen to have been adopted based upon requirements within the current versions of the Home Office Right to Work Checklist and Guidance which was verified at the time of audit. Original documentation i.e. UK or EU passport details, birth certificate and other country passport details including details of entitlement to work in the United Kingdom were verified at Recruitment Stage by the EHS Coordinator.

1.4.2: Are all employees including temporary or seasonal workers issued with a contract containing details of their employment?

3 - Compliant

Were personnel files available for review and to validate that workers are issued with a contract detailing information about their employment terms, payment, and type of employment and working hours including temporary or seasonal workers? Yes

Question Evidence

The Company issue contracts of employment to all members of staff. These are signed by the individuals who receive a copy of the contract, a copy is also kept in their personnel file. The contracts identify their terms and conditions for employment. The Company did not require the use of temporary or seasonal workers within their scope of works.

Documents Presented

Contract of Employment

1.4.3: Does the company manage the use of employment agencies or labour companies?

N/A

Does the supplier verify the competencies/capabilities of all agency-supplied labour prior to being supplied to them? N/A

Does the company have a process to ensure that agency personnel have not worked hours in excess of legislative and regulatory limits before attending their work site? N/A

If workers are utilised via recruitment agencies or labour companies, are checks made to verify that all workers are entitled to work in the specified country? N/A

Question Evidence

There were no requirements for the business to use labour or recruitment providers.

Documents Presented

Not a requirement for the Company

1.4.4: Are trade unions present within the company?

3 - Compliant

Which Unions are represented within the company? N/A

If no unions are allowed, does the company prevent workers from forming any other mechanism for collective bargaining? Yes

Question Evidence

No trade unions or equivalent are currently represented within the organisation although they would not prevent personnel from forming any other mechanism for collective bargaining.

Documents Presented

Discussion with Auditee Employee Handbook

1.4.5: Has the Organisation prepared and published an annual Slavery and human trafficking statement?

3 - Compliant

The organisation has developed an annual statement related to slavery and human trafficking. Yes

The statement is appropriately approved and signed off. Yes

The statement is published/available via the organisation website via a prominent link on homepage, or if the organisation does not have a website, it must provide a copy of the statement to anyone who makes a written request for one within 30 days. Yes

Question Evidence

The company fell below the requirements legislatively to hold a Modern Slavery policy based on turnover and staff levels but had prepared a statement as a matter of due diligence.

Documents Presented

Modern Slavery Policy dated May 2019

1.5 Training and Capability / Competence Assessment

Section Score: 15

1.5.1: Does the company induct new workers into the business when they first start on site? This should include employees, sub-contractors, self employed and visitors.

3 - Compliant

Are records of induction held? Yes

Does the induction process cover the following: Accident/hazard reporting - what to do, Code of Conduct, Company structure, Emergency procedures e.g. warning sign/Als/first aid issues, Relevant legislative and regulatory requirements, Roles and responsibilities, Site-specific requirements e.g. welfare facilities/safety risks, Training and competency requirements

Is there a documented period for reinducting / rebriefing personnel? Yes

Question Evidence

The Company had in place arrangements for Company Induction detailed within the Management System. All staff are required to undertake the company's induction process. The Company communicate arrangements on emergency plans, how to access management documentation, training and competency requirements and accident reporting. The inductions are delivered by managers and a Driver and included a 4 week supervision period and a 'buddy system' operated until perceived to be competent. The company re-brief staff on process and procedures following any change to policy and on an annual basis.

Documents Presented

031 Training and Development Policy Induction Records

1.5.2: Has the company identified all work activities relating to their scope of service that requires formal training?

3 - Compliant

Is a system in place to record the training / competence requirements for all categories of worker (e.g. Training matrix or database)? Yes

Does the training process confirm competency/capability requirements as well as training needs? Yes

What systems do the company have in place to identify new training requirements relating to changes in scope of services being provided? Yes

Question Evidence

The Company demonstrated appropriate competence management arrangements which were adequately detailed within the Management System. The Managing Director was responsible for identifying training requirements on an ongoing basis in conjunction with the Client. A Training Matrix was in place demonstrating training records were maintained for each employee which was seen to identify specific courses and associated expiry dates.

Documents Presented

031 Training and Development Policy Training Matrix

1.5.3: Is there a system in place to ensure that existing training certificates / licences held by individuals are checked and validated on a regular basis?

3 - Compliant

Are licences for operating plant and equipment or for specific trades checked for validity when presented by new workers joining the company who already possess the certification? Yes

Does the company have a means of identifying certification expiry/re-training dates and also, where necessary, competency assessment due dates?(Can be electronic/manual or notification by training organisation) Yes

Question Evidence

The Company demonstrated appropriate competence management arrangements which were adequately detailed within the Company Management System. The EHS Coordinator undertakes checks on the validity of existing qualifications and training at recruitment stage (such as LGV licence) and then on an ongoing basis thereafter. The EHS Coordinator is responsible for maintenance of the competence matrix to ensure reassessment and retraining of staff takes place via approved training providers in good time prior to expiration.

Documents Presented

031 Training and Development Policy Training Matrix Verification of Licence Check Website

1.5.4: Has the company defined training standards for its workforce based on in-house or national / industry standards?

3 - Compliant

Are the levels required by the company documented? Yes

Where competency/capability standards have been developed; are they signed off by a competent professional or Head of Department? Yes

Does the programme cover all categories of worker? Yes

Does the company use a numerical process to evaluate a workers capability when progressing against a specific standard? E.g. pass marks, matrix approach with cumulated scores to meet specific standard. Yes

Question Evidence

The Company had defined competency and training standards for its workforce based upon both in-house and industry standards including DVLA Checks and Contractor Training. The Managing Director identifies training requirements on an ongoing basis and formally records any training needs identified. A Competency Matrix was seen to be in place demonstrating training records were maintained for each employee which was seen to identify specific courses and associated expiry dates. The EHS Coordinator is responsible for maintenance of the competence matrix to ensure reassessment and retraining of staff takes place via approved training providers only. Respective job descriptions were also seen to be in place outlining minimum and desirable competence standards.

Documents Presented

031 Training and Development Policy Training Matrix Verification of Licence Check Limited Website Job Descriptions

1.5.5: Does the company have programmes in place for the re-assessment / re-training of personnel?

3 - Compliant

Is there a schedule for re-assessment?	Yes
Are personnel records up to date (Auditor to take a sample)?	Yes
If reliant on an external party, is there a system in place to monitor the effectiveness of the company used?	Yes
Are remote workers/ drivers advised of their need to be re-assessed?	Yes
Does the company monitor the effectiveness of the training programmes provided?	Yes

Question Evidence

The Company demonstrated appropriate competence management arrangements which were adequately detailed within the Company Management System. The EHS Coordinator undertakes checks on the validity of existing qualifications and training at recruitment stage and then on an ongoing basis thereafter and is responsible for maintenance of the competence matrix to ensure reassessment and retraining of staff takes place via approved training providers in good time prior to expiration. Hard copy training records were verified against the competence matrix and seen to be suitably managed.

Documents Presented

031 Training and Development Policy Training Matrix Risk Assessor Training Certificate dated 17/11/15
Certificate of Fire Marshall dated 24/09/15 Driver Qualification Card Manual Handling Training Emergency First Aid at Work Certificate 1700066566 Expiry 02/03/20 Anglian Water Contractor Card 246/09313-4 Expiry 04/22
Level 2 City and Guilds Award in Working in Medium Risk Confined Spaces (Top Man) (Entrant) Water dated 02/07/19

1.6 Working Hours

Section Score: 3

1.6.1: Does the company keep records of all workers standard and overtime working hours?

3 - Compliant

Are time sheets subject to checks for accuracy and completeness? Yes

Does the company state the maximum hours to be worked in a given period? Yes

Does the company monitor actual hours worked and analyse trends in hours worked correlating this with error and incident data, skill availability, absence data and taking appropriate action in the light of identified patterns and trends? Yes

Does the company carry out fatigue risk assessments (FRI)? Yes

Is any overtime undertaken on a voluntary basis? Yes

Question Evidence

The Company identified working hour requirements within standard contracts issued pre-start of induction. The Company's working week on average was 37.5 hours per week. All drivers had Digicards and Tachographs to track their driving hours undertaken. In addition, the Company had in place a timesheet system. Overtime was undertaken on a voluntary basis and approved in advance by the Line Manager. Staff were seen to have signed a Working Time Directive Opt Out Agreement. Timesheets were verified at the time of audit. Breaks, travel time and stopovers are monitored and checked at each stage of the review process. A Driving Risk Assessment was seen to be in place and included fatigue management.

Documents Presented

Weekly Timesheets Working Time Directive Induction Record 118 Driving Risk Assessment dated June 2018

1.7 Workplace Safety

Section Score: **33**

1.7.1: Does the company have established processes to ensure compliance to legal and other regulatory requirements that are applicable?

3 - Compliant

Has the company established, implemented and maintained procedures to identify, access and review all relevant legal and other requirements? Yes

Question Evidence

The EHS Coordinator was responsible for reviewing and updating company documentation in line with changes to health, safety and environmental legislation as well as changes to industry standards. Legislation updates were provided via membership of The Road Haulage Association, DVSA and Office of the Traffic Commissioner as well as subscriptions to HSE E-Bulletins and the Environment Agency. Health, Safety and Environmental Registers were verified at the time of audit. The Company were seen to be communicated through monthly management review meetings,

Documents Presented

Health and Safety Legislation Register Environmental Legislation Register Membership of Road Haulage Association Email Bulletins - HSE, Gov.UK. St Johns Ambulance, DVLA, ACAS, OTC and Environment Management Review Meeting dated 13/12/18

1.7.2: Does the company have a Health and Safety policy statement relating to the provision of a safe working environment?

3 - Compliant

Does it demonstrate a commitment to such as: providing sufficient resources for the management of health and safety and continually improving workplace safety? Yes

Does the policy extend to not only workers but also third parties and people who are not employed but may be affected by the company's activities? Yes

Is the policy statement signed / endorsed at Senior Management level (i.e. signed off at Director level)? Yes

How does the company communicate policies to all employees, contractors and other interested parties, both initially and following any changes? Yes

Is the period for review of the policy documented? Yes

Question Evidence

The Company had in place a formal Environmental, Health and Safety (EHS) Policy Statement signed by the Managing Director and dated August 2018. The policies were seen to be displayed on Company noticeboards and communicated via the Company Website. All policies were also seen to be available via Vehicle Cab Folders and briefed as part of the Company Induction Process. The Company stated that the policies are reviewed annually.

Documents Presented

EHS Policy Statement dated August 2018 Induction Records Visual Verification of Website, Noticeboards and Vehicle Cab Folder

1.7.3: Does the company have a person who has delegated responsibility for workplace and product safety?

3 - Compliant

Are responsibilities formally defined, assigned and recorded (e.g. within a Job Description)? Yes

Does the delegated person hold appropriate qualifications (e.g. as a minimum NEBOSH General Certificate or equivalent, if construction bias NEBOSH Construction Certificate or equivalent) and professional memberships (e.g. IOSH / IIRSM)? Yes

If the company is part of a larger group is there a corporate reporting structure from the local facility to the Group Head responsible for Safety? Yes

Does the company split the responsibility for workplace and product safety? Yes

Question Evidence

The Managing Director was responsible for Health and Safety Management within the business and was seen to be supported on a day to day basis by the EHS Coordinator. The roles and responsibilities for the management representative were seen to be detailed within the Management System, job descriptions and organisation chart and defined the requirements and accountabilities of the role. The EHS Coordinator was seen to hold NEBOSH General Certification in respect of Occupational Health and Safety and Environmental Management.

Documents Presented

EHS Policy Statement dated August 2018 Organisation Structure dated July 2019 Job Description - EHS Coordinator NEBOSH General - Occ. Health Certificate 00107728/395815 dated 14/08/12 NEBOSH National Certificate Environmental Management 0107728/337279 dated 31/01/12

1.7.4: Can the company demonstrate that the senior management team take a proactive role in the continuous improvement of health, safety and industrial hygiene within the company?

3 - Compliant

Does senior management take part in random and programmed safety inspections/tours/audits? Yes

Does the senior management team commit to establishing measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness? Yes

Is there evidence to support the monitoring of performance of meeting these objectives? Yes

Question Evidence

The Transport Manager was identified as conducting inspections of drivers and sites every 6 months. The Managing Director also carried out Yard inspections every 6 months. Objectives and Targets were set within the Annual Safety plan to monitor and measure Safety performance and an agenda item at the quarterly management review meetings.

Documents Presented

Annual Safety Plan 2019 Management Review Meeting dated 13/12/18 Vehicle Audit Checklist dated 02/05/19 Yard Audit dated 13/07/19

1.7.5: Does the company have control measures in place to reduce / remove identified Health and Safety risks?

3 - Compliant

Has the organisation established, implemented and maintained documented procedures to identify hazards/impacts and assess risks? Yes

Has the company developed its methodology for hazard identification, risk assessment and risk control, based on operational experience? Yes

Does the company use all relevant forms of Risk Assessment including; Generic, Dynamic, site specific etc.? Yes

Does the company have a process to manage works controlled by permits-to-work issued by the company, client or principal contractor? Yes

Question Evidence

The Company had in place suitable control measures to reduce/remove all identified Health, Safety and Environmental Risks. The Company utilise a 5x5 matrix to assess the degree of risk from each activity. Risk assessments were seen to be included and communicated within Method Statements (RAMS), evidence was verified at the time of audit. Risk Assessments are completed on a daily basis (Internal Dynamic Site/Task Risk Assessment) prior to commencement of work. Generic Risk Assessments were available and accessible within a Risk Register. The Company were also able to demonstrate completion of office and depot and fire risk assessments.

Documents Presented

Safety Management System Manual dated July 2018 Risk Register 2019 Driving Risk Assessment dated June 2018 Confined Space Risk Assessment dated August 2018 Internal Dynamic / Task Risk Assessment RAMS Planned Works EHSQ100 dated June 2021 Fire Risk Assessment dated March 2019

1.7.6: Does the company have a communication process to provide guidance to the workforce on workplace safety issues?

3 - Compliant

Does the company keep formal records of safety related communication/briefings? Yes

Does the company verify that mechanisms for communication with personnel with poor / non-local language skills are appropriate and that hazards are understood? Yes

How does the company ensure subcontractors are included within briefing and communication programmes? Yes

Does the company have forums / committees / groups or other mechanisms to enable the communication and discussion of safety issues? Yes

Question Evidence

The Company's Communication arrangements were detailed within the Management System. All employees were inducted on the identified risks associated with the Company's activities. The Company promote effective communication and consultation with the workforce through regular, meeting arrangements, daily dialogue, email correspondence and toolbox talk sessions. Evidence was verified at the time of audit.

Documents Presented

Management Review Meeting dated 13/12/18 Induction Records Toolbox Talk Register Manual Handling Toolbox Talk dated 14/07/19 Anglia Water Confined Space Bulletin.

1.7.7: Does the company develop and implement initiatives to improve workplace safety?

3 - Compliant

Can the organisation demonstrate how it identifies and quantifies areas of improvement relating to Health & Safety? Yes

Can the organisation demonstrate how it develops programmes to rectify and improve upon Health & Safety performance? Yes

Are workers rewarded for developing and implementing workplace safety initiatives? (Can be financial/award of gifts etc.) Yes

Does the company have a Behavioural Safety programme in place? Yes

Question Evidence

Goals and objectives are devised based on previous incident and audit and inspection performance. The outcomes of audits, office and project leader inspections and client feedback are shared across the business. The Company are required to adopt their Clients Behavioural Safety Programmes (where required), However, in addition, the business demonstrated that they have developed an internal workplace safety and behavioural reward scheme.

Documents Presented

Annual Safety Plan 2019 Management Review Meeting dated 13/12/18 Reward Policy dated September 2018

1.7.8: Can the company demonstrate that they issue appropriate Personal Protective Equipment (PPE) to all workers that may be exposed to workplace hazards?

3 - Compliant

Does the company maintain records of the issue of PPE to workers? Yes

Can the company demonstrate that workers (including agency labour) have been given guidance on the proper handling, storage and use of PPE? Yes

Is there a period of time for the retention of PPE issue records? Yes

Is there a process used to identify type of PPE that needs to be used to meet requirements such as: company standards, Original Equipment Manufacturer and legislative requirements (e.g. coating applications, use of breathing apparatus / RPE etc)? Yes

Where workers have been issued with equipment that requires inspection(s) such as; Respiratory Protective Equipment (RPE), Personal Atmosphere Monitors (PAMs), Breathing Apparatus, Fall Arresters/Safety Harnesses, etc. are records of inspection retained? Yes

If the company does not issue agency labour and sub contractors with PPE because they provide their own, does the company instead retain records of inspection of such PPE documenting that it meets the company's standards and legislative requirements? Yes

Is there a disciplinary procedure linked to failure to wear required PPE? Yes

Can the company demonstrate that all PPE is issued free of charge to all workers? Yes

Question Evidence

The Company has a process in place to issue Personal Protective Equipment (PPE) in line with the PPE and industry regulations. All PPE is issued free of charge and forms part of the company induction and must be approved as fit for purpose and issue is recorded. Disciplinary action for failure to wear correct PPE and follow the health and safety procedure was confirmed in the PPE procedure and considered to be gross misconduct. PPE risk assessments were also verified and defined the requirements for the company. PPE was seen to be monitored and inspected on an ongoing basis.

Documents Presented

Safety Management System Manual dated July 2018 PPE Policy dated July 2018 RAMS Planned Works EHSQ100 dated June 2021 PPE Issue Document Induction Records

1.7.9: Can the company demonstrate that they have assessed the hazards associated with applicable chemicals and / or hazardous substances?

3 - Compliant

Has the company established, implemented and maintained documented procedures to identify and manage substances hazardous to health (COSHH)? Yes

Does the company have a process or system in place to ensure that up to date material safety data sheets (MSDS) are obtained? Yes

Does the company have copies of MSDS retained / referenced in a register? Yes

Does the company have a process for ensuring MSDSs and supporting risk assessments are available; to workers at the point of use, to the emergency services and first aid trained personnel where necessary? Yes

Do the risk assessments in place identify the correct types of Personal Protective Equipment (PPE) required? Yes

Question Evidence

The Company had in place within their Health and Safety Manual a documented process which detailed arrangements for assessing hazards associated with applicable chemicals and/or hazardous substances. A COSHH register had been established. The process of updating the assessments for products was detailed within the manual. This included the application of the recently updated hazard symbols as outlined in the CLP regulations.

Documents Presented

Safety Management System Manual dated July 2018 COSHH Assessment Register

1.7.10: Is there a system in place for the correct handling and storage of hazardous substances and goods?

N/A

Is there any site storage of flammable materials including petroleum spirit, diesel or gas oil (kerosene or paraffin), aviation fuels, liquefied petroleum gas (LPG), hydrogen? No

Can the company demonstrate they utilise appropriate containment on site needed to retain leakage from storage vessels (or evaporation areas for LPG)? (i.e. Bunds/Reinforced walls) N/A

Is there a programme in place to assess the integrity, suitability and separation distances of the storage areas? N/A

Does the company have spill kits available for use? N/A

Question Evidence

The Company did not handle or store COSHH materials or waste within the scope of their activities

Documents Presented

Not a requirement for the Company

1.7.11: In the event of an injury in the workplace can the company demonstrate they have adequate emergency first aid facilities onsite?

3 - Compliant

Has the company made an assessment of first-aid needs appropriate to the circumstances (hazards and risks) of each workplace? No

Does the company provide adequate first aid facilities both at their premises (i.e. offices, workshops etc) and on site? Yes

Are sufficient numbers of qualified emergency first aid personnel available and easily identifiable e.g. by means of badges, identified during site induction / pre-work briefings, pictures on the notice boards etc? N/A

Are subcontractors/temporary/agency workers allowed to use these facilities? N/A

Question Evidence

The Company demonstrated adequate arrangements for the provision of emergency first aid facilities documented within the Health and Safety Manual. Appropriate signage and First Aid Kits were verified at the time of audit. First aiders and the location of first aid equipment was also identified via induction process. First aid kits were found to be in date.

Documents Presented

Safety Management System Manual dated July 2018 Visual Verification of First Aid Arrangements Induction Records First Aid Risk Assessment dated January 2019 Emergency First Aid at Work Certificate 1700066566 Expiry 02/03/20

1.7.12: Does the company have arrangements in place for investigating and reporting of Accidents and Incidents and Near Misses in their worksites?

3 - Compliant

Does the company have a nominated person who reports all accidents and incidents to government agencies and where applicable a corporate Head Office? Yes

Does the company maintain records of accidents and incidents (This includes safety & environmental incidents)? Yes

Does the company have a documented process for undertaking investigations into accidents/incidents and near miss occurrence? Yes

Does the company produce and analyse Accident and Incident Statistics? Yes

Can the company demonstrate that lessons have been learned and applied from incidents? Yes

Has the company had any prohibition or Improvement notices in the last 5 years?(auditor to check <http://www.hse.gov.uk/notices/> as part of audit) No

Has the company had any HSE Prosecutions within the last 5 years?(auditor to check <http://www.hse.gov.uk/prosecutions/> as part of audit) No

Question Evidence

The Company demonstrated appropriate accident reporting and investigation arrangements which were seen to be documented within the Systems Manual. Arrangements were also briefed at induction stage. The EHS Coordinator was the nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR for both site and office and would undertake any investigations required. Accident statistics and trends analysis were seen to be discussed annually at Management Review. The Company had one RIDDOR reportable incident since the last audit.

Documents Presented

Safety Management System Manual dated July 2018 Management Review Meeting dated 13/12/18 RIDDOR - HSE Notification dated 28/11/18

1.8 Occupational Health

Section Score: 6

1.8.1: Does the company have a nominated person who has responsibility for occupational health?

3 - Compliant

Does this person have defined responsibilities as part of the management system? Yes

Does the company use the services of a third party (Can be private or government operated facility) medical centre/hospital for the delivery of occupational/worker health services? Yes

Question Evidence

The Managing Director was ultimately responsible for Occupational Health Management within the business and supported on a day to day basis by the EHS Coordinator. The roles and responsibilities for the management representative were seen to be detailed within the Management System, job descriptions and organisation chart and defined the requirements and accountabilities of the role. The Company would utilise the services of a third party occupational health provider if required.

Documents Presented

EHS Policy Statement dated August 2018 Organisation Structure dated July 2019 Job Description - EHS Coordinator

1.8.2: Does the company undertake any Health Surveillance screening / monitoring / testing of their workforce?

3 - Compliant

Is the screening part of the pre employment selection criteria? Yes

Is routine health surveillance undertaken because of the type of work the company undertakes e.g. working with specific chemicals or noisy environment? Yes

Can it be confirmed that the company have implemented controls to prevent workers being exposed to harmful levels of chemical, biological and physical agents, substances or materials that exceed the maximum legal exposure limits? Yes

Does the company and subcontractors have documented processes for ensuring employee fitness for work? Do requirements include Drug and Alcohol testing? Yes

Question Evidence

Employees of the Company are required to complete a medical surveillance questionnaire as part of the induction process and then annually thereafter as part of the re-brief of processes. Records were seen to be maintained within personnel files. The Company had in place a documented Drugs and Alcohol Policy. The Company also demonstrated the completion of DSE Assessments for staff.

Documents Presented

Medical Surveillance Questionnaire Drugs and Alcohol Policy dated August 2018 DSE Assessment

1.9 Emergency Planning

Section Score: 3

1.9.1: Does the company have a formal process for the identification and implementation of emergency arrangements?

3 - Compliant

Does the company have formal processes for the identification and implementation of work site specific emergency arrangements? Yes

Are site specific emergency arrangements communicated to all applicable personnel? Yes

Can the company demonstrate that they have tested the effectiveness of their emergency arrangements? Yes

Does the company specify minimum competency and resource levels within the documented emergency arrangements? Yes

Has the company quantified minimum medical provision and support within the emergency plan? Yes

Can the company demonstrate that they provide visitors, external auditors, contractors with specific information about site safety hazards and emergency evacuations arrangements? Yes

Is there a programme in place that ensures that all emergency (fire and evacuation) equipment is checked regularly by a competent person? (This can be a third party) Yes

Question Evidence

The company had a procedure in place to address emergency plans which detailed responsibilities and emergency response. Fire evacuation procedures were in place and displayed in the office and were also covered during the induction process. Fire drills were conducted annually and fire drill register maintained. Fire equipment was provided and serviced on an annual contract through external providers. The Company had trained a Fire Marshal for the business.

Documents Presented

Fire Risk Assessment dated March 2019 Emergency Preparedness Management Plan dated 2019 Fire evacuation and emergency procedure document. Fire Evacuation Drill 21/06/19 Certificate of Fire Marshall dated 24/09/15

1.10 Site Security

Section Score: 3

1.10.1: Does the company ensure the security of the work site both during work and non working hours?

3 - Compliant

Question Evidence

The offices were located on a small industrial estate in a semi-rural area. The site was protected through security locks on the external door and external security lighting. Security patrols were conducted on the site, this were arranged and managed by the Landlord as part of the tenancy agreement. Site security was the responsibility of the client.

Documents Presented

Visual Verification of Security Arrangements

1.10.2: Does the company utilise CCTV to monitor workplace security?

N/A

Are government permits required for the CCTV system in operation?

N/A

Is the company able to demonstrate they hold the relevant permit?

N/A

Question Evidence

The Company did not use CCTV to monitor the workplace.

Documents Presented

Not a requirement for the Company

1.10.3: Are security personnel employed directly by the company or engaged via a third party and how are they distinguishable from other members of the workforce?

N/A

Do they undertake programmed patrols of all work sites? N/A

How does the company ensure the competency and legitimacy of security personnel and does this include Security Industry Association (SIA) licencing? N/A

Can the company demonstrate that site based security personnel have been inducted to the operational working sites that they patrol? N/A

Question Evidence

Security patrols were conducted within the Head-Office Industrial Estate and managed by the Landlord as part of the tenancy agreement. The Company did not employ third party security personnel within their scope of works

Documents Presented

Not a requirement for the Company

1.11 Business Continuity

Section Score: 3

1.11.1: Does the Company have formal arrangements in place for the implementation of a business continuity management plan?

3 - Compliant

Is a formal plan in place?	Yes
What kind of arrangement is it?	Localised
Has the plan been subject to review and trial or simulation?	Yes
Does the plan cover areas that could result in the total loss of operations? (such as terrorist threats, natural disasters, power cuts, etc.)	Yes
Can the company demonstrate all reasonable emergency situations have been identified?	Yes
Has the company appointed an individual with responsibility for this area?	Yes

Question Evidence

The company had a documented Business Continuity Plan for the business and was commensurate to their exposure level identified. An Emergency Preparedness Management Plan was also in place. The EHS Coordinator held responsibility for business continuity arrangements and creation of the plan including review. The business continuity plan has been subjected to trial but this had not been formally documented.

Documents Presented

Business Continuity Plan dated July 2018. Emergency Preparedness Management Plan dated 2018.

1.12 Environmental Management

Section Score: 15

1.12.1: Does the company have an environmental policy statement?

3 - Compliant

Is the policy statement signed and endorsed by the most senior management representative? Yes

Does the policy relate to the company activities? Yes

Is it displayed in a prominent position and made available to all interested parties? Yes

Does it commit the company to a continuous improvement programme and compliance with all relevant environmental legislation or industry guidance? Yes

Does it identify how environmental issues will be communicated? Yes

Is the period for review detailed? Yes

Question Evidence

The Company had in place a formal Environmental, Health and Safety (EHS) Policy Statement signed by the Managing Director and dated August 2018. The policies were seen to be displayed on Company noticeboards and communicated via the Company Website. All policies were also seen to be available via Vehicle Cab Folders and briefed as part of the Company Induction Process. The Company stated that the policies are reviewed annually.

Documents Presented

EHS Policy Statement dated August 2018 Induction Records Visual Verification of Website, Noticeboards and Vehicle Cab Folder

1.12.2: Is the company's environmental management system documented?

3 - Compliant

Does the system document the company's environmental responsibilities?	Yes
Are details of the communication process detailed?	Yes
Are responsibilities clearly defined?	Yes
Is there an inspection and audit regime?	Yes
Are emergency procedures detailed?	Yes
Is there a written section on waste and recycling?	Yes
Does the company have a policy on sourcing materials?	Yes
Is there a written section on the management of subcontractors?	N/A
Does the system detail the measures to be taken in the design process?	N/A
Does the system establish legal requirements including the maintenance of a register of legislation applicable to the company's scope of activities?	Yes

Question Evidence

The company had in place a formally documented Environmental management system which was seen to be written in accordance with ISO 14001:2015. The system had not been certified to these standards at the time of audit. The Company confirmed that where required they will adopt their Client's management systems standards. Legislation updates were provided via membership of The Road Haulage Association, DVSA and Office of the Traffic Commissioner as well as subscriptions to HSE E-Bulletins and the Environment Agency. Health, Safety and Environmental Registers were verified at the time of audit. The Company were seen to communicate through monthly management review meetings.

Documents Presented

HSEQ Management System dated April 2018 Environmental Legislation Register Membership of Road Haulage Association Email Bulletins - HSE, Gov.UK. St Johns Ambulance, DVLA, ACAS, OTC and Environment Management Review Meeting dated 13/12/18

1.12.3: Does the company utilise a variety of information sources to maintain the content of the environmental management system?

3 - Compliant

Is there In House expertise? Yes

Do they use an external consultancy? No

Do they use a subscription service? Yes

Do they use government agencies / local / municipal authorities? Yes

Question Evidence

The Managing Director was responsible for Environmental Management within the business and was seen to be supported on a day to day basis by the EHS Coordinator. The roles and responsibilities for the management representative were seen to be detailed within the Management System, job descriptions and organisation chart and defined the requirements and accountabilities of the role. The EHS Coordinator was seen to hold NEBOSH General Certification in respect of Occupational Health and Safety and Environmental Management. Legislation updates were provided via membership of The Road Haulage Association, DVSA and Office of the Traffic Commissioner as well as subscriptions to HSE E-Bulletins and the Environment Agency.

Documents Presented

EHS Policy Statement dated August 2018 Organisation Structure dated July 2019 Job Description - EHS Coordinator NEBOSH General - Occ. Health Certificate 00107728/395815 dated 14/08/12 NEBOSH National Certificate Environmental Management 0107728/337279 dated 31/01/12 HSEQ Management System dated April 2018 Membership of Road Haulage Association Email Bulletins - HSE, Gov.UK. St Johns Ambulance, DVLA, ACAS, OTC and Environment

1.12.4: Does the company manage the Environmental Aspects and Impacts associated with their scope of services?

3 - Compliant

Are these processes documented in the form of a register or similar? Yes

Does the company have a formal process for communicating the content of the register? Yes

Is there evidence of a periodic assessment and evaluation of the content? Yes

Question Evidence

The company had carried out a review of their operations and had defined and maintained an Aspects and Impacts register with appropriate control measures identified. implemented a process in line with the register to address environmental impacts. The aspects and impacts register had considered aspects, details of environmental impact and risk rating. The aspects and impacts register was subject to annual review.

Documents Presented

Environmental Aspects and Impacts Register dated May 2019

1.12.5: Does the company have control measures in place to reduce / remove identified environmental risk?

3 - Compliant

Does the company use data from maintenance programmes / operations to enhance control measures? Yes

Does the Internal auditing regime monitor the control measures in place? Yes

Are inspections received from government agencies? Yes

Question Evidence

The Company had in place suitable control measures to reduce/remove all identified Health, Safety and Environmental Risks. The Company utilise a 5x5 matrix to assess the degree of risk from each activity. Risk assessments were seen to be included and communicated within Method Statements (RAMS), evidence was verified at the time of audit. Risk Assessments are completed on a daily basis (Internal Dynamic Site/Task Risk Assessment) prior to commencement of work. Generic Risk Assessments were available and accessible within a Risk Register.

Documents Presented

Safety Management System Manual dated July 2018 Risk Register 2019 Driving Risk Assessment dated June 2018 Confined Space Risk Assessment dated August 2018 Internal Dynamic / Task Risk Assessment RAMS Planned Works EHSQ100 dated June 2021

1.13 Carbon Management

Section Score: 0

1.13.1: Does the company quantify and report their Greenhouse Gas (GHG) emissions?

N/A

Can the company provide the total emissions, in terms of tCO₂e (tonnes of carbon dioxide equivalent), that they were responsible for emitting over their standard reporting year? N/A

Does the company capture indirect emissions as well as direct emissions e.g. supply chain? N/A

Is this a definitive answer e.g. 2008 calendar year: 12,100 tCO₂e? N/A

Is the figure published in the form of a standard report, spreadsheet or for larger companies, published in a CSR or annual report? N/A

Question Evidence

The company were not required to report the CO₂ emissions due to staff numbers and turnover being below the requirement.

Documents Presented

Not a requirement for the Company

1.13.2: Are follow up actions set in place as part of the monitoring and measuring process?

N/A

Are new targets set after each review period? N/A

Are the follow up actions communicated to all employees? N/A

If targets are not achieved, are strategies set in place in order to meet them? N/A

Question Evidence

The company were not required to report the CO₂ emissions due to staff numbers and turnover being below the requirement.

Documents Presented

Not a requirement for the Company

1.14 Waste management

Section Score: 6

1.14.1: Does the company have processes in place to manage waste (produced as a result of their activities)?

3 - Compliant

Are there recycling initiatives in place? Yes

Are the systems formal? Yes

Question Evidence

The company waste management processes were demonstrated to identify a hierarchy of waste control starting with prevention of waste, preparing waste for re-use, recycling, other recovery and finally disposal. Recycling was handled through an approved and validated recycling provider. Segregated waste for recycling included paper and cardboard, toner cartridges, batteries.

Documents Presented

Recycling Policy dated August 2018

1.14.2: Does the company ensure that it disposes of all its waste in a legal manner?

3 - Compliant

Does the company use a formal transfer note process? Yes

Do they use licensed waste companies and licensed waste carriers? Yes

Do they have access to up to date waste legislation? Yes

If burying the waste are they using authorised sites? Yes

Transfer to authorised/licensed waste management company? Yes

Where applicable can the company demonstrate that it complies with the Waste Electrical and Electronic Equipment Regulations 2013? Yes

Question Evidence

The company collected, transported and dropped of liquid waste materials at Client or other approved disposal sites. Office waste was disposed of via the local authority collection service. Waste transfer notes were retained for a minimum of 7 years. The company were a licensed waste carrier and demonstrated evidence of certification. Health, Safety and Environmental Legislation Registers were verified at the time of audit and seen to include details of compliance with the WEEE Regulations 2013.

Documents Presented

Upper Tier Waste Carrier and Dealer Licence - Registration Number CBDU126856 expires 09/09/2019. License to Discharge Domestic Waste No. 2915441 - Licence Period 01/04/19 to 31/03/20 Waste Transfer Notes Environmental Legislation Register

1.14.3: Does the company store any waste material on site?

N/A

Is the waste material classified as Hazardous or Non Hazardous? N/A

Is the waste material classified as flammable or non flammable? N/A

Are there quarantine areas to prevent any cross contamination? N/A

If liquid are there adequate spill preventions / containment / spill kits? N/A

Are inspections undertaken on the controls of the waste material? N/A

Question Evidence

There were no requirements to store waste at the controlling office.

Documents Presented

Not a requirement for the Company

1.15 Selection and Management of Supply Chain

Section Score: **12**

1.15.1: Has the company appointed a management representative with overall authority for subcontractor / supplier selection and management?

3 - Compliant

Are there deputies within the company in the absence of the representative? Yes

Does the company have a forum, group or committee to review contractor/ supplier performance? Yes

What due diligence processes are in place with regard to the awarding of contracts to subcontractors / suppliers (i.e. dual signatures or peer review)? Yes

Question Evidence

The Managing Director was responsible for subcontractor and supplier selection and management within the business and seen to be supported on a day to day basis by the EHS Coordinator. The roles and responsibilities for the management representative were seen to be detailed within the Management System, job descriptions and organisation chart and defined the requirements and accountabilities of the role. The Managing Director and EHS Coordinator will deputise for each other in respect of Supplier Management in the case of absence or leave. The Company did not utilise the services of Subcontractors at the time of audit.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Organisation Structure dated July 2019 Job Description - EHS Coordinator

1.15.2: Does the company ensure effective management of their supply chain?

3 - Compliant

Has the company got a process for the evaluation and selection of subcontractors and suppliers, to include such as; pre-qualification questionnaires and maintaining a list or register of approved suppliers? Yes

Has the company identified the minimum levels of insurance applicable and required to be held by its subcontractors? Yes

Does the company specify any accreditations/ requirements e.g. UVDB, BuildingConfidence? Yes

Has the company identified the minimum quality, safety and environmental controls applicable and required to be held by its supply chain? Yes

Is there confirmation of subcontractor competency assurance? Yes

Question Evidence

The Company demonstrated the use of an Approved Supplier List which was available on the Computer Network and updated and monitored by the EHS Coordinator. The Company only sourced office consumables and vehicles for their operation and had a limited supply chain. The Company had a Supplier/Contractor Risk Assessment Form acting in the role of a PQQ and requested information on Child Labour controls, Bribery risk controls and company details. The Company did not utilise the services of subcontractors.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Supplier/Contractor Risk Assessment Form. Approved Suppliers List.

1.15.3: Does the company undertake any reviews of their supply chain performance?

3 - Compliant

Is there a review mechanism?	Yes
Is there a method for recording reviews?	Yes
Is there a process for rectifying faulty work?	Yes
Is there a process to prevent contractors/ suppliers with poor performance continuing to work for the company, or to instigate improvements?	Yes
Does the company have a mechanism for periodic monitoring of subcontractors insurances, licenses and professional memberships?	Yes
Does the company capture / analyse subcontractors accidents / incidents statistics and reports?	Yes
Does the company have a process to investigate contractor/ supplier, Accidents/ Incidents and track actions?	Yes

Question Evidence

The Managing Director reviewed supplier performance informally based on service delivery and quality of materials or service. Suppliers were historical and approved based on previous service and history with the company. The Company undertook documented reviews of the Supply Chain as part of the monthly Management Review Meeting process.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Supplier/Contractor Risk Assessment Form. Approved Suppliers List. Management Review Meeting dated 13/12/18

1.15.4: Does the company assess / audit / inspect their supply chain?

3 - Compliant

Please tick all that apply:	Entire supply chain?
Does the company have a process for the recording and monitoring of any corrective actions raised at subcontractor/supplier audits?	Yes

Question Evidence

The organisation carry out ongoing reviews on approved suppliers to monitor performance as part of the monthly Management Review Meeting Process. The auditee confirmed that any non compliant suppliers and sub contractors are not used and are removed from the Approved Supplier List.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Supplier/Contractor Risk Assessment Form. Approved Suppliers List. Management Review Meeting dated 13/12/18

1.16 Sourcing of Goods and Products

Section Score: 6

1.16.1: Can the company demonstrate that they have put in place formal arrangements for the identification, mitigation and prevention of Counterfeit, Fraudulent and Suspect Items (CFSI)?

N/A

Are arrangements integrated into the company's management processes / procedures? N/A

Has the company established measures to ensure that its staff are aware of the risks of CFSI and understand and support the company's mitigation methods? N/A

Has the company taken measures to raise awareness throughout all levels of its supply chain that there are parties who might wish to substitute CFSI for genuine items or services for commercial gain? N/A

Has the company deployed assurance methods to ensure material and component traceability back to source suppliers? N/A

Where examples of CFSI have been identified have appropriate remedial actions have been taken? i.e. quarantine arrangements, investigation and dispose of CFSI and information shared within the company N/A

For companies working in the Nuclear Industry, where examples of CFSI have been identified have these been notified to the Office of Nuclear Regulation (ONR)? N/A

Question Evidence

The Company did not operate within the Nuclear industry.

Documents Presented

Not a requirement for the Company

1.16.2: Does the company have a policy to procure fairly traded goods where available?

N/A

Question Evidence

There was no requirement for the company to procure fairly traded goods, but would whenever possible.

Documents Presented

Not a requirement for the Company

1.16.3: Does the company work with its top level suppliers to prevent bribery and corruption throughout its supply chain?

3 - Compliant

Question Evidence

As part of the supplier evaluation process suppliers are required to confirm that policies are in place for bribery and corruption as well as human rights, labour standards and complete the Supplier/Contractor Risk Assessment Form.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Supplier/Contractor Risk Assessment Form Anti Theft, Fraud, Bribery and Corruption Policy dated 04/06/19

1.16.4: Does the company procure materials from legal and sustainable sources, can they demonstrate chain of custody certification?

N/A

If purchasing raw materials is there a mandated requirement to use materials that possess a Chain of Custody e.g. Forestry Stewardship Council (FSC) timber? N/A

Do delivery notes contain a chain of custody certificate? N/A

Is this subject to verification prior to use? N/A

Question Evidence

There was no requirement for materials from legal or sustainable sources.

Documents Presented

Not a requirement for the Company

1.16.5: Can the company demonstrate that they actively assess their supply chain for the potential of child labour being involved in the work process?

3 - Compliant

Can the company demonstrate that they ask their suppliers about child labour in the supply chain? Yes

Question Evidence

As part of the supplier evaluation process suppliers are required to confirm that policies are in place for bribery and corruption as well as human rights, labour standards and complete the Supplier/Contractor Risk Assessment Form.

Documents Presented

Supplier Supply Chain Policy dated July 2019 Supplier/Contractor Risk Assessment Form

1.17 Use of Work Equipment, Vehicles and Machines

Section Score: 3

1.17.1: Does the company have arrangements in place for ensuring that all plant tools and equipment are approved prior to use?

3 - Compliant

Does the company have documented processes for the maintenance of plant and equipment?	Yes
Does the company retain records of maintenance of plant items and equipment?	Yes
Does the company retain calibration records?	Yes
Does the company have a process for reporting and repairing defects on plant items and equipment?	Yes
Does the company produce a scheduled maintenance plan for each individual plant item?	Yes
Does the company ensure that plant items and equipment are inspected and maintained by competent personnel?	Yes
Where applicable, are records of thorough examination / certificates for statutory inspections and tests available, and have these been issued by a competent authority?	Yes

Question Evidence

The Company had in place at the time of audit suitable management system procedures detailing the arrangements for ensuring that work equipment was fit for purpose as well as processes for purchase and control of any equipment and included servicing, maintenance and calibration. A master Plant register was held defining any test, inspection or certification dates. Calibrated equipment was used and valid certification was presented. All plant maintenance was carried out externally by approved providers. Vehicles had a defect reporting sheet to record vehicle checks and returned to the EHS Coordinator for action.

Documents Presented

Safety Management System Manual dated July 2018 022 Safety Equipment Procedure Safety Equipment Register. Daily Drivers Vehicle Defect Report PAT Testing Policy dated April 2019 PAT Testing Records dated 26/04/19 Calibration Certificate Gas Monitor - Crowcon Tetra 3 W151768/00-5 dated 30/01/19

1.17.2: If the company uses equipment from a third party hire company (short or long term), does the company ensure that the equipment is fit for purpose?

N/A

Does the company have a process for verifying that equipment supplied is fit for purpose? Yes

Does the company request calibration records when equipment arrives on site? Yes

Does the company retain copies of certificates of conformity for all tested equipment? Yes

Question Evidence

The Company currently had no requirement to hire in third party plant and equipment.

Documents Presented

Not a requirement for the Company

1.17.3: Where the company uses lifting appliances and accessories, do they have processes in place to effectively discharge their responsibilities for such as; mandatory checks / thorough examinations / pre-use checks?

N/A

Does the company have processes in place for the carrying out and recording of pre-use checks of lifting appliances and accessories? Yes

Are checks/examinations completed by competent/capable persons? Yes

Can the company demonstrate compliance with the relevant lifting/safety regulations of their country of operation? Yes

Question Evidence

No lifting equipment or accessories were required by the organisation within their scope of activities.

Documents Presented

Not a requirement for the Company

1.18 Insurance and Warranty

Section Score: 3

1.18.1: Can the company demonstrate that it has adequate insurance to cover not only its scope of works, also its workforce and surrounding environment?

3 - Compliant

Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage. Yes

Question Evidence

Valid insurance was demonstrated and was seen to cover the scope of activities. Employers Liability and Public and Products Liability (NFU Mutual), 080X2891368N71 Expiry 21/06/20

Documents Presented

Visual Verification of Insurance Documentation

1.18.2: Can the company demonstrate what form of warranty or guarantee they provide as part of their service package?

N/A

Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage. N/A

Question Evidence

The company has no requirement to offer a warranty or guarantee as part of its service package.

Documents Presented

Not a requirement for the Company

1.18.3: If the insurance cover has been issued to a parent or holding company, how is this process managed in the event of a claim?

N/A

If supplier operates in a different country from that of their Head Office is the currency of the policy different? N/A

Can the company demonstrate there are no 'excesses' or 'restrictions' that limit the company's indemnity? N/A

If the Policy has been issued to a 'Parent' or Holding Company, is this discharged to cover the activities of the supplier? N/A

Does the Cover include scope of operations? Domestic or International coverage / group or localised coverage. N/A

Question Evidence

Insurances were seen to be issued directly to the company and not via a parent or holding company.

Documents Presented

Not a requirement for the Company

2.1 System Assurance and Compliance

Section Score: 3

2.1.4: Can the company demonstrate compliance with the Construction, Design and Management (CDM) Regulations?

N/A

Does the company undertake any activities that fall under the CDM regulations? I.e. construction site work, transient sites, F10 displayed / available to view on the site audited. N/A

Has the company identified and documented its responsibilities as defined within the CDM regulations and relationship with the Client? e.g. Principal Designer, Designer, Principal Contractor? (i.e. CPP available to view at work site?) N/A

Do company management systems clearly identify processes for meeting and discharging duties as required by the CDM regulations? I.e. including suitable / sufficient welfare facilities, hot wash, rest areas, drying facilities. N/A

Question Evidence

The Company provide liquid collection and disposal for domestic and commercial customers and the scope of works did not fall under the requirements of the CDM Regulations 2015.

Documents Presented

Not a requirement for the Company

2.1.5: Has the company identified all permit and licensing requirements applicable to the scope of services provided?

3 - Compliant

Has the company identified the necessary licenses and permits applicable to the scope of services provided? I.e. Goods Vehicles Operators Licence, Correct tier waste licence for scope of services. Yes

Can the company demonstrate that all applicable licenses and permits are held and in date? Are copies available on site? Yes

Question Evidence

The Company demonstrated suitable arrangements in place to ensure the business complies with any relevant permitting and licensing requirements as well as ensuring compliance with relevant legislation. The Company were registered under the Waste (England and Wales) Regulations 2011 as an Upper Tier Waste Carrier, Broker and Dealer and held a license to Discharge Domestic Waste. The Company were also seen to hold a valid Goods Vehicle Operators Licence in respect of their vehicle fleet (23 motor vehicles and 15 trailers).

Documents Presented

Upper Tier Waste Carrier and Dealer Licence - Registration Number CBDU126856 expires 09/09/2019. License to Discharge Domestic Waste No. 2915441 - Licence Period 01/04/19 to 31/03/20 Goods Vehicle Operators Licence OF0224933 Issued 12/08/11

2.2 Quality Control and Assurance

Section Score: 9

2.2.4: Does the company have documented processes for the control and production of quality control plans and procedures, inspection and testing documentation and for the assurance of the competence of staff involved?

3 - Compliant

Does specific Quality Control documentation (as applicable) fall within the scope of the company's documented Information control process (i.e. are ITPs available at site)? Yes

Does the company undertake any analysis to monitor the effectiveness of the procedures and processes in place, including site inspections and testing? Yes

Question Evidence

Projects were defined through Client requests for works and recorded in a day sheet with each driver informed via an online messaging service (Esendex) which connects with the Drivers NAVMAN sat nav systems within the Company vehicles. The message identifies the works location and nature of the works required. Within the office, the Company use a Driver Day Schedule in conjunction with the Day Sheet to track and monitor scheduled works. Upon arrival at the job, the driver completes a Waste Liquid Disposal Sheet to confirm the activity. Internal checking and audit procedures were in place to monitor the process effectiveness.

Documents Presented

036 Document Control Procedure dated August 2018 EHSQ Document Register

2.2.5: Does the company have a controlled and documented process for the handover of completed works?

3 - Compliant

Does the company manage the documentation and process of completion of agreed contractual work? Yes

Question Evidence

The Company demonstrated examples of completed Waste Liquid Disposal Sheets which were documented upon arrival at Client Site by the Driver and signed off upon completion of the job by the Customer. Transfer dockets were retained for a 7 year period then disposed off by shredding.

Documents Presented

Waste Liquid Disposal Sheet 72575 dated 18/07/19

2.2.7: Does the company have in place an internal auditing / inspection programme?

3 - Compliant

Are the audits at regular/programmed intervals? Yes

That the company has specified a minimum competency level for personnel undertaking audits / inspections. Yes

Does the company ensure all areas of the business are covered by this programme? Yes

Does the internal audit process include contract / customer specific requirements? Yes

Question Evidence

The Company had in place a documented process for Internal audits within the Management System Manuals. An Audit Programme had been put into effect and detailed the frequency and depth of audits across the business. Each area of the business was included within the audit function. Audits included customer specific requirements. Evidence of audits and inspections was verified.

Documents Presented

022 Internal Audit Procedure dated August 2018 Internal Audit Schedule Internal Documentation Audit Form Internal Audit Social Media Policy dated 18/06/18 Vehicle Audit Checklist dated 02/05/19 Yard Audit dated 13/07/19

2.3 Business Integrity and Ethics

Section Score: 0

2.3.2: If a worker advises senior management of improper conduct; can the company demonstrate that the worker would be protected and the information treated confidentially (whistle blowing policy)?

0 - Major non compliance (no evidence)

Is there a formal process / procedure that demonstrates how a worker can make a formal complaint in confidence? Yes

Is the complaint reported to an independent party? Yes

Can the company demonstrate how the policy has been communicated to all categories of worker? Yes

Question Evidence

The Company were unable to demonstrate a formal procedure/process detailing how an employee can make a formal complaint of improper conduct in confidence.

Documents Presented

No evidence provided

2.5 Training and Capability / Competence Assessment

Section Score: 9

2.5.1: Does the company induct new workers into the business when they first start on site? This should include employees, sub-contractors, self employed and visitors.

3 - Compliant

Are records of induction held? Yes

Does the induction process cover the following:

Is there a documented period for reinducting / rebriefing personnel and applicable personnel? Yes

Question Evidence

The Company had in place arrangements for Company Induction detailed within the Management System. All staff are required to undertake the company's induction process. The Company communicate arrangements on emergency plans, how to access management documentation, training and competency requirements and accident reporting. The inductions are delivered by managers and a Driver and included a 4 week supervision period and a 'buddy system' operated until perceived to be competent. The company re-brief staff on process and procedures following any change to policy and on an annual basis. The Site Operative had attended the Anglian Water Contractor Induction and provided evidence of a Contractor Card demonstrating completion of the course.

Documents Presented

031 Training and Development Policy Induction Records Anglian Water Contractor Card 246/09313-4 Expiry 04/22

2.5.2: Has the company identified all work activities relating to their scope of service that requires formal training?

3 - Compliant

Is a system in place to record the training / competence requirements for all categories of worker (e.g. Training matrix or database)? Yes

Does the training process confirm competency/capability requirements as well as training needs? Yes

Question Evidence

The Company demonstrated appropriate competence management arrangements which were adequately detailed within the Management System. The Managing Director was responsible for identifying training requirements on an ongoing basis in conjunction with the Client. A Training Matrix was in place demonstrating training records were maintained for each employee which was seen to identify specific courses and associated expiry dates. Formal training for the scope of activities undertaken on site were verified and seen to include; Driving licence, CPC Licence / Driver Qualification Card and Anglian Water Contractor Card.

Documents Presented

031 Training and Development Policy Training Matrix Driving Licence Driver Qualification Card Anglian Water Contractor Card 246/09313-4 Expiry 04/22

2.5.5: Does the company have programmes in place for the re-assessment / re-training of personnel?

3 - Compliant

Are remote (Individuals who work on sites or areas away from the main head office e.g. site tradesperson, lorry drivers) workers advised of their need to be re-assessed? Yes

Question Evidence

The Company demonstrated appropriate competence management arrangements which were adequately detailed within the Company Management System. The EHS Coordinator undertakes checks on the validity of existing qualifications and training at recruitment stage and then on an ongoing basis thereafter and is responsible for maintenance of the competence matrix to ensure reassessment and retraining of staff takes place via approved training providers in good time prior to expiration. Hard copy training records were verified against the competence matrix and seen to be suitably managed. The On-Site Driver/Operative was seen to hold a valid Driving licence, CPC Licence/Driver Qualification Card and Anglian Water Contractor Card.

Documents Presented

031 Training and Development Policy Training Matrix Risk Assessor Training Certificate dated 17/11/15 Certificate of Fire Marshall dated 24/09/15 Driver Qualification Card Manual Handling Training Emergency First Aid at Work Certificate 1700066566 Expiry 02/03/20 Anglian Water Contractor Card 246/09313-4 Expiry 04/22 Level 2 City and Guilds Award in Working in Medium Risk Confined Spaces (Top Man) (Entrant) Water dated 02/07/19

2.7 Workplace Safety

Section Score: 27

2.7.2: Does the company have a Health and Safety policy relating to the provision of a safe working environment?

3 - Compliant

Does it demonstrate a commitment to such as: providing sufficient resources for the management of health and safety and continually improving workplace safety? Yes

Does the policy extend to not only workers but also third parties and people who are not employed but may be affected by the company's activities? Yes

Is the policy statement endorsed at Senior Management level (i.e. signed-off at Director Level)? Yes

How does the company communicate policies to all employees, contractors and other interested parties, both initially and following any changes? Yes

Is the period for review documented? Yes

Question Evidence

The Company had in place a formal Environmental, Health and Safety (EHS) Policy Statement signed by the Managing Director and dated August 2018. The policies were seen to be displayed on Company noticeboards and communicated via the Company Website. All policies were also seen to be available via Vehicle Cab Folders and briefed as part of the Company Induction Process. The Company stated that the policies are reviewed annually.

Documents Presented

EHS Policy Statement dated August 2018 Induction Records Visual Verification of Website, Noticeboards and Vehicle Cab Folder

2.7.4: Can the company demonstrate that the senior management team take a proactive role in the continuous improvement of health, safety and industrial hygiene within the company?

3 - Compliant

Does senior management take part in random and programmed safety inspections/tours/audits? Yes

Does the senior management team commit to establishing measurable objective and targets to ensure continued improvement aimed at elimination of work related injury and illness? Yes

Is there evidence to support the monitoring of performance of meeting these objectives? Yes

Question Evidence

The Transport Manager was identified as conducting inspections of drivers and sites every 6 months. The Managing Director also carried out Yard inspections every 6 months. Objectives and Targets were set within the Annual Safety plan to monitor and measure Safety performance and an agenda item at the quarterly management review meetings.

Documents Presented

Annual Safety Plan 2019 Management Review Meeting dated 13/12/18 Vehicle Audit Checklist dated 02/05/19
Yard Audit dated 13/07/19

2.7.5: Does the company have control measures in place to reduce / remove identified Health and Safety Risks

3 - Compliant

Has the organisation established, implemented and maintained documented procedures to identify hazards/impacts and assess risks? Yes

Has the company developed its methodology for hazard identification, risk assessment and risk control, based on operational experience? Yes

Does the company use all relevant forms of Risk Assessment including; Generic, Dynamic, site specific etc.? Yes

Does the company have a process to manage works controlled by permits-to-work issued by the company, client or principal contractor? Yes

Question Evidence

The Company had in place suitable control measures to reduce/remove all identified Health, Safety and Environmental Risks. The Company utilise a 5x5 matrix to assess the degree of risk from each activity. Risk assessments were seen to be included and communicated within Method Statements (RAMS), evidence was verified at the time of audit. Risk Assessments are completed on a daily basis (Internal Dynamic Site/Task Risk Assessment) prior to commencement of work. Generic Risk Assessments were available and accessible within a Risk Register.

Documents Presented

Safety Management System Manual dated July 2018 Risk Register 2019 Driving Risk Assessment dated June 2018 Confined Space Risk Assessment dated August 2018 Internal Dynamic / Task Risk Assessment RAMS Planned Works EHSQ100 dated June 2018

2.7.6: Does the company have a communication process to provide guidance to the workforce on workplace safety issues?

3 - Compliant

Does the company utilise a variety of different methods of communications and briefings? Yes

Does the company keep formal records of safety related communication/briefings? Yes

Does the company verify that mechanisms for communication with personnel with poor / non-local language skills are appropriate and that hazards are understood? Yes

How does the company ensure subcontractors are included within briefing and communication programmes? Yes

Does the company have forums / committees / groups or other mechanisms to enable the communication and discussion of safety issues? Yes

Question Evidence

The Company's Communication arrangements were detailed within the Management System. All employees were inducted on the identified risks associated with the Company's activities. The Company promote effective communication and consultation with the workforce through regular, meeting arrangements, daily dialogue, email correspondence and toolbox talk sessions. Evidence was verified at the time of audit.

Documents Presented

Management Review Meeting dated 13/12/18 Induction Records Toolbox Talk Register Manual Handling Toolbox Talk dated 14/07/19 Anglia Water Confined Space Bulletin.

2.7.7: Does the company develop and implement initiatives to improve workplace safety?

3 - Compliant

Can the organisation demonstrate how it identifies and quantifies areas of improvement relating to Health & Safety? Yes

Can the organisation demonstrate how it develops programmes to rectify and improve upon Health & Safety performance? Yes

Are workers rewarded for developing and implementing workplace safety initiatives? (Can be financial/award of gifts etc.) Yes

Does the company have a Behavioural Safety programme in place? Yes

Question Evidence

Goals and objectives are devised based on previous incident and audit and inspection performance. The outcomes of audits, office and project leader inspections and client feedback are shared across the business. The Company are required to adopt their Clients Behavioural Safety Programmes (where required), However, in addition, the business demonstrated that they have developed an internal workplace safety and behavioural reward scheme.

Documents Presented

Annual Safety Plan 2019 Management Review Meeting dated 13/12/18 Reward Policy dated September 2018

2.7.8: Can the company demonstrate that they issue appropriate Personal Protective Equipment (PPE) to all workers (migrant workers, contract/ labour, full-time) that may be exposed to workplace hazards?

3 - Compliant

Does the company maintain records of the issue of PPE to workers? Yes

Can the company demonstrate that workers (including agency labour) have been given guidance on the proper handling, storage and use of PPE? Yes

Is there a period of time for the retention of PPE records? Yes

Is there a process used to identify type of PPE that needs to be used to meet such as: company standards, Original Equipment Manufacturer and legislative requirements (e.g. coating applications, use of breathing apparatus / RPE, working at height etc.)? Yes

Where workers have been issued with equipment that requires inspection(s) such as; Respiratory Protective Equipment (RPE), Personal Atmosphere Monitors (PAMs), Breathing Apparatus, Fall Arresters / Safety Harnesses, etc. are records of inspection retained? Yes

If the company does not issue agency labour and sub contractors with PPE because they provide their own, does the company instead retain records of inspection of such PPE documenting that it meets the company's standards and legislative requirements? Yes

Is there a disciplinary procedure linked to failure to wear required PPE? Yes

Can the company demonstrate that all PPE is issued free of charge to all workers? Yes

Question Evidence

The Company has a process in place to issue Personal Protective Equipment (PPE) in line with the PPE and industry regulations. All PPE is issued free of charge and forms part of the company induction and must be approved as fit for purpose and issue is recorded. Disciplinary action for failure to wear correct PPE and follow the health and safety procedure was confirmed in the PPE procedure and considered to be gross misconduct. PPE risk assessments were also verified and defined the requirements for the company. PPE was seen to be monitored and inspected on an ongoing basis. Driver/Operative PPE was verified during the site visit and seen to include; Overalls with Company logo, Hi-Vis Vest, Safety Boots, Gas Detector, Ear Defenders and Eye Protection, Hard Hat.

Documents Presented

Safety Management System Manual dated July 2018 PPE Policy dated July 2018 RAMS Planned Works EHSQ100 dated June 2021 PPE Issue Document Induction Records Visual Verification of Operative PPE

2.7.9: Can the company demonstrate that they have assessed the hazards associated with applicable chemicals and/or hazardous substances?

3 - Compliant

Has the company established, implemented and maintained documented procedures to identify and manage substances hazardous to health (COSHH)? Yes

Does the company have a process or system in place to ensure that up to date material safety data sheets (MSDS) are obtained? Yes

Does the company have copies of MSDS retained / referenced in a register? Yes

Does the company have a process for ensuring MSDSs and supporting risk assessments are available; to workers at the point of use, to the emergency services and first aid trained personnel where necessary? Yes

Do the risk assessments in place identify the correct types of Personal Protective Equipment (PPE) required? Yes

Question Evidence

Whilst the Company had in place within their Health and Safety Manual a documented process which detailed arrangements for assessing hazards associated with applicable chemicals and/or hazardous substances, they were not required to use any COSHH items within the scope of work verified during the site visit.

Documents Presented

Safety Management System Manual dated July 2018 COSHH Assessment Register Not a requirement for the Company within the scope of site activity

2.7.10: Is there a system in place for the correct handling and storage of hazardous substances and goods?

N/A

Is there any site storage of flammable materials including petroleum spirit, diesel or gas oil (kerosene or paraffin), aviation fuels, liquefied petroleum gas (LPG), hydrogen? N/A

Can the company demonstrate they utilise appropriate containment on site needed to retain leakage from storage vessels (or evaporation areas for LPG)? (i.e. Bunds/Reinforced walls) N/A

Is there a programme in place to assess the integrity, suitability and separation distances of the storage areas? N/A

Does the company have spill kits available for use? N/A

Question Evidence

The Company did not handle or store COSHH materials or waste within the scope of their activities.

Documents Presented

Not a requirement for the Company

2.7.11: In the event of an injury in the workplace can the company demonstrate they have adequate emergency first aid facilities onsite?

3 - Compliant

Has the company made an assessment of first-aid needs appropriate to the circumstances (hazards and risks) of each workplace? Yes

Does the company provide adequate first aid facilities both at their premises (i.e. offices, workshops etc.) and on site? Yes

Are sufficient numbers of qualified emergency first aid personnel available and easily identifiable e.g. by means of badges, identified during site induction / pre-work briefings, pictures on the notice boards etc.? Yes

Are subcontractors/temporary/agency workers allowed to use these facilities? Yes

Question Evidence

The Company demonstrated adequate arrangements for the provision of emergency first aid facilities documented within the Health and Safety Manual. Appropriate signage and First Aid Kits were verified at the time of audit. First aiders and the location of first aid equipment was also identified via induction process. First aid kits were found to be in date. Drivers were equipped with a vehicle First Aid kit and also had the use of Client facilities on Utilities sites operated on.

Documents Presented

Safety Management System Manual dated July 2018 Visual Verification of First Aid Arrangements Induction Records Emergency First Aid at Work Certificate 1700066566 Expiry 02/03/20

2.7.12: Does the company have arrangements in place for investigating and reporting of Accidents and Incidents and Near Misses in their worksites?

3 - Compliant

Does the company have a nominated person who reports all accidents and incidents to government agencies and where applicable a corporate Head Office? Yes

Does the company maintain records of accidents and incidents (This includes safety & environmental incidents)? Yes

Does the company have a documented process for undertaking investigations into accidents/incidents and near miss occurrence? Yes

Does the company produce and analyse Accident and Incident Statistics? Yes

Can the company demonstrate that lessons have been learned and applied from incidents? Yes

Has the company had any prohibition or Improvement notices in the last 5 years?(auditor to check <http://www.hse.gov.uk/notices/> as part of audit) No

Has the company had any HSE Prosecutions within the last 5 years?(auditor to check <http://www.hse.gov.uk/prosecutions/> as part of audit) No

Question Evidence

The Company demonstrated appropriate accident reporting and investigation arrangements which were seen to be documented within the Systems Manual. Arrangements were also briefed at induction stage. The EHS Coordinator was the nominated person for the statutory reporting of accidents and incidents as identified in RIDDOR for both site and office and would undertake any investigations required. Accident statistics and trends analysis were seen to be discussed annually at Management Review. The Company had one RIDDOR reportable incident since the last audit. Near miss cards were seen to be provided to staff along with accident reports and were available in hardcopy format. The Driver/Operative interviewed during the site verification was aware of both the Company and Client reporting process.

Documents Presented

Safety Management System Manual dated July 2018 Management Review Meeting dated 13/12/18 RIDDOR - HSE Notification dated 28/11/18 Discussion with Driver / Operative

2.9 Emergency Planning

Section Score: 0

2.9.1: Does the company have a formal process for the identification and implementation of emergency arrangements?

N/A

Does the company have formal processes for the identification and implementation of work site specific emergency arrangements? N/A

Are site specific emergency arrangements communicated to all applicable personnel? N/A

Can the company demonstrate that they have tested the effectiveness of their emergency arrangements? N/A

Does the company specify minimum competency and resource levels within the documented emergency arrangements? N/A

Has the company quantified minimum medical provision and support within the emergency plan? N/A

Can the company demonstrate that they provide visitors, external auditors, contractors with specific information about site safety hazards and emergency evacuations arrangements? N/A

Is there a programme in place that ensures that all emergency (fire and evacuation) equipment is checked regularly by a competent person? (This can be a third party) N/A

Question Evidence

Emergency arrangements on site were mandated by the Client and the company complied with these as issued through the site induction. The Driver/Operative had attended the Anglian Water Contractor Induction and provided evidence of a Contractor Card demonstrating completion of the course.

Documents Presented

Induction Records Anglian Water Contractor Card 246/09313-4 Expiry 04/22

2.10 Site Security

Section Score: 0

2.10.1: Does the company ensure the security of the work site both during work and non working hours?

N/A

Question Evidence

The Client was responsible for On-Site Security. All Operatives/Drivers had been issued with a Site Access Card to enter the STW. All Visitors were required to report arrival and departure from site and sign a Visitors Log Book which was located close to the disposal point.

Documents Presented

Not a requirement for the Company Visual Verification of Site Security Arrangements Site Access Card Signing in Process.

2.10.2: Does the company utilise CCTV to monitor workplace security?

N/A

Are government permits required and in place for CCTV systems?

N/A

Question Evidence

The Client was responsible for On-Site Security Arrangements.

Documents Presented

Not a requirement for the Company Visual Verification of Site Security Arrangements

2.10.3: Are security personnel employed directly by the company or engaged via a third party and how are they distinguishable from other members of the workforce?

N/A

Do they undertake programmed patrols of all work sites?

N/A

Can the company demonstrate that site based security personnel have been inducted to the operational working sites that they patrol?

N/A

Question Evidence

The Client was responsible for On-Site Security Arrangements.

Documents Presented

Not a requirement for the Company Visual Verification of Site Security Arrangements

2.12 Environmental Management

Section Score: 6

2.12.1: Does the company have an environmental policy statement?

3 - Compliant

Is it displayed in a prominent position and made available to all interested parties? Yes

Question Evidence

The Company had in place a formal Environmental, Health and Safety (EHS) Policy Statement signed by the Managing Director and dated August 2018. The policies were seen to be displayed on Company noticeboards and communicated via the Company Website. All policies were also seen to be available via Vehicle Cab Folders and briefed as part of the Company Induction Process. The Company stated that the policies are reviewed annually.

Documents Presented

EHS Policy Statement dated August 2018 Induction Records Visual Verification of Website, Noticeboards and Vehicle Cab Folder

2.12.5: Does the company have control measures in place to reduce / remove identified environmental risks?

3 - Compliant

Does the company use data from maintenance programmes / operations to enhance controls processes? Yes

Does the Internal auditing regime monitor the control measures in place? Yes

Are inspections received from government agencies? Yes

Question Evidence

The Company had in place suitable control measures to reduce/remove all identified Health, Safety and Environmental Risks. The Company utilise a 5x5 matrix to assess the degree of risk from each activity. Risk assessments were seen to be included and communicated within Method Statements (RAMS), evidence was verified at the time of audit. Risk Assessments are completed on a daily basis (Internal Dynamic Site / Task Risk Assessment) prior to commencement of work. Generic Risk Assessments were available and accessible within a Risk Register.

Documents Presented

Safety Management System Manual dated July 2018 Risk Register 2019 Driving Risk Assessment dated June 2018 Confined Space Risk Assessment dated August 2018 Internal Dynamic / Task Risk Assessment RAMS Planned Works EHSQ100 dated June 2018

2.14 Waste management

Section Score: 0

2.14.1: Does the company have processes in place to manage waste (produced as a result of their activities)?

N/A

Are there recycling initiatives in place? N/A

Are the systems formal? N/A

Question Evidence

The Company did not produce any waste as a result of the activity verified (Transporting, unloading and disposing of sewage effluent at the licenced sewage treatment works).

Documents Presented

Not a requirement for the Company

2.14.2: Does the company ensure that it disposes of all its waste in a legal manner?

N/A

Do they use licensed waste companies and licensed waste carriers? N/A

Does the company use a formal transfer note process? N/A

Do they have access to up to date waste legislation? N/A

If burying the waste are they using authorised sites? N/A

Transfer to authorised/licensed waste management company? N/A

Where applicable can the company demonstrate that it complies with the Waste Electrical and Electronic Equipment Regulations 2013? N/A

Question Evidence

The Company did not produce any waste as a result of the activity verified (Transporting, unloading and disposing of sewage effluent at the licenced sewage treatment works). The Company were registered under the Waste (England and Wales) Regulations 2011 as an Upper Tier Waste Carrier, Broker and Dealer and held a license to Discharge Domestic Waste.

Documents Presented

Not a requirement for the Company Upper Tier Waste Carrier and Dealer Licence - Registration Number CBDU126856 expires 09/09/2019. License to Discharge Domestic Waste No. 2915441 - Licence Period 01/04/19 to 31/03/20

2.14.3: Does the company store any waste material on site?

N/A

Is the waste material classified as Hazardous or Non Hazardous? N/A

Is the waste material classified as flammable or non flammable? N/A

Are there quarantine areas to prevent any cross contamination? N/A

If liquid are there adequate spill preventions / containment / spill kits? N/A

Are inspections undertaken on the controls of the waste material? N/A

Question Evidence

The Company did not produce or store any waste as a result of the activity verified (Transporting, unloading and disposing of sewage effluent at the licenced sewage treatment works).

Documents Presented

Not a requirement for the Company

2.17 Use of Work Equipment, Vehicles and Machines

Section Score: 3

2.17.1: Does the company have arrangements in place for ensuring that all plant tools and equipment are approved prior to use?

3 - Compliant

Does the company have documented processes for the maintenance of plant and equipment?	Yes
Does the company retain records of maintenance of plant items and equipment?	Yes
Does the company retain calibration records?	Yes
Does the company have a process for reporting and repairing defects on plant items and equipment?	Yes
Does the company produce a scheduled maintenance plan for each individual plant item?	Yes
Does the company ensure that plant items and equipment are inspected and maintained by competent personnel?	Yes
Where applicable, are records of thorough examination / certificates for statutory inspections and tests available, and have these been issued by a competent authority?	Yes

Question Evidence

The Company had in place at the time of audit suitable management system procedures detailing the arrangements for ensuring that work equipment was fit for purpose as well as processes for purchase and control of any equipment and included servicing, maintenance and calibration. A master Plant register was held defining any test, inspection or certification dates. Calibrated equipment was used and valid certification was presented. All plant maintenance was carried out externally by approved providers. Vehicles had a defect reporting sheet to record vehicle checks and returned to the EHS Coordinator for action. Evidence of Driver defect report for Rigid Tanker (T475 ARM) was verified during the site visit. Tools used on site were limited to handtools and manhole lifting keys.

Documents Presented

Safety Management System Manual dated July 2018 022 Safety Equipment Procedure Safety Equipment Register. Daily Drivers Vehicle Defect Report (T475 ARM) PAT Testing Policy dated April 2019 PAT Testing Records dated 26/04/19 Calibration Certificate Gas Monitor - Crowcon Tetra 3 W151768/00-5 dated 30/01/19

2.17.2: If the company uses equipment from a third party hire company (short or long term), does the company ensure that the equipment is fit for purpose?

N/A

Does the company have a process for verifying that equipment supplied is fit for purpose? N/A

Does the company request calibration records when equipment arrives on site? N/A

Does the company retain copies of certificates of conformity for all tested equipment? N/A

Question Evidence

The Company currently had no requirement to hire in third party plant and equipment.

Documents Presented

Not a requirement for the Company

2.17.3: Where the company uses lifting appliances and accessories, do they have processes in place to effectively discharge their responsibilities for such as; mandatory checks / thorough examinations / pre-use checks?

N/A

Does the company have processes in place for the carrying out and recording of pre-use checks of lifting appliances and accessories? N/A

Are checks/examinations completed by competent/capable persons? N/A

Can the company demonstrate compliance with the relevant lifting/safety regulations of their country of operation? N/A

Question Evidence

No lifting equipment or accessories were required by the organisation within their scope of activities.

Documents Presented

Not a requirement for the Company

96.1 Key Performance Indicators - Exposure

96.1.1: Total Man hours Worked

To set KPI parameters, please select current year	2019
Number recorded for current year	44270
Number recorded for previous year	41940
Number recorded for 2 years ago	39610
Number recorded for 3 years ago	37280
Number recorded for 4 years ago	34950

96.2 Key Performance Indicators - Safety

96.2.1: Fatalities

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.2: HSE Reportable Injuries

Number recorded for current year	0
Number recorded for previous year	1
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.3: Lost time incidents (1-7 days)

Number recorded for current year	1
Number recorded for previous year	3
Number recorded for 2 years ago	1
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.4: Incidents requiring medical treatment (MTI)

Number recorded for current year	0
Number recorded for previous year	2
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.5: Incident requiring first aid

Number recorded for current year	0
Number recorded for previous year	1
Number recorded for 2 years ago	1
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.6: Dangerous occurrences

Number recorded for current year	0
Number recorded for previous year	1
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.7: Near Hits/Misses

Number recorded for current year	1
Number recorded for previous year	4
Number recorded for 2 years ago	6
Number recorded for 3 years ago	1
Number recorded for 4 years ago	1

96.2.8: HSE/HSA or equivalent improvement notices

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.9: HSE/HSA or equivalent prohibition notices

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.2.10: HSE/HSA or equivalent prosecutions

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.3 Key Performance Indicators - Environment

96.3.1: Minor Non-reportable incidents

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.3.2: Reportable incidents

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0

96.3.3: Enforcement action i.e. Warning letters, prosecutions

Number recorded for current year	0
Number recorded for previous year	0
Number recorded for 2 years ago	0
Number recorded for 3 years ago	0
Number recorded for 4 years ago	0