

Audit Checklist - ASLEC / HERS - NHSS8. (TeC Issue Jun 2010)

Organisation Name & Site / Depot Name (Location of Audit):			
ASLEC-HEMSA Office Comments:			
(Insert auditor name in box above) Item (below)	Registr. Initial - NON-QA	Registr. Periodic Tech. (Biennial) <u>QA</u>	Registr. Periodic Tech. (Biennial) NON-QA
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of works carried out (brief description)			
Geographical area of works (brief description)			
Main customers (by type or examples by name)			
Total no. of persons employed			
Turnover p.a.			
Year commenced trading			
CoC - Code of Conduct - signed and dated and communicated (to relevant employees) / displayed (GEN/3.6)			
CoC - hold appropriate types and levels of insurance (1.4)			
CoC - If any guarantees / warranties offered - should be set out clearly (4.3) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - Advertising - confirmation that whoever prepares advertisements complies with Control of Misleading Advertisements Regs & British Codes of Advertising (5.1-5.5) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - Logos - ASLEC / HEMSA logos used with Membership No. only (5.6-5.9) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - pay suppliers on time within the terms agreed at the outset of the contract (6.1) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - give clear and easily accessible guidance to our suppliers (of goods or services) on payment procedures & communicate our complaints and disputes system to our suppliers (6.2-6.3) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - encourage good practice by requesting that our suppliers adopt the payment elements of this code of conduct throughout their own supply chains (6.5) - HEAD OFFICE ONLY (copy Head Office results to other contracting office(s))			
CoC - have in place speedy, responsive, accessible and user friendly procedures for dealing with written (by email or letter) complaints & ensure that all appropriate staff, especially "customer facing staff" are familiar with the complaints procedure incl. acknowledge receipt of complaint within 5 working days and seek to resolve within 20 working days (7.1-7.2; 7.4-7.5)			
CoC - record all complaints received & action taken for review by auditor (7.8)			




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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BS EN ISO 9001:2008 certificate no.			
"Equivalent" Quality Management System (If not ISO 9001)			
NHSS 8 scope - ISO9001 certificate extended to cover this			
Six Month max for completion of previous audit actions / complaints (8.5)			
HERS logo used; compliance with rules in Handbook (use of logo not mandatory)			
Highway Electrical Registration Scheme (HERS) Certificate showing scope of works, and expiry date (only if they have registered employees as well)			
Human Resources - Responsible Manager(s) Named (6.2.2(i)1)			
Human Resources - Compliance Manager(s) Named (6.2.2(i)2)			
Human Resources - Authorising Officer(s) Named (6.2.2(i)3)			
Human Resources - Authorising Officer(s) Qual's / Experience.(6.2.2(i)3) N/SVQ L3,2 / authorised by RM, AO course, CPD			
Human Resources - Qualified Supervisor(s) Named (6.2.2(i)4)			
Human Resources - Qualified Supervisor(s) Qualifications / Exp.(6.2.2(i)4) - N/SVQ L3,2 / authorised by AO, QS course, CPD			
Human Resources - AO and QS to have AO and QS cards (& be registered in their own right)			
Nominated Individual responsible for implementation, monitoring & internal auditing of NHSS / HERS (only required for reduced auditing purposes) - (8.2.2)			
Evidence of internal audits - format to cover points in NHSS8 / this audit / App. L Checklist (6.2.2(vi) / 8.2.2) (ONLY IF AUDIT POINT ABOVE IS Y)			
Planning & Product Realisation - Quality Plan(s) incl. Contract Review & Design Personnel name(s) & qualification(s) / experience (7.1, 7.2,7.3) - not req'd if non ISO9001 and less than 5 employees - where requested by client			
Planning & Product Realisation - Recorded process to ensure organisational certificated scope or intended scope is not being mis-represented (7.2.2 (i))			
Planning & Product Realisation - Recorded process to ensure work activities only given to those that are competent in that activity (7.2.2 (vi))			
Planning & Product Realisation - Designers to be identified with details (CV) (7.3)			




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Planning & Product Realisation - Designers to be competent (ASLEC CDM 10) (e.g. ILE Ltg Design Staff Competency Matrix; Training; membership of professional Institution; CPD)			
Purchasing - Approved Suppliers List (7.4(i))			
Purchasing - Materials conforming to spec. (7.4(ii))			
Purchasing - Approval of (Registered) Sub-contractors - procedures to vet sub-contractors and ensure they are registered to HERS (7.4(iii) and Appendix L Checklist)			
Purchasing - Approval of (Registered) Sub-contractors (7.4(iii) and Appendix L Checklist) - No. of s/c registered (Attach names in comments below or in relevant evidence column)			
Purchasing - Approval of (Registered) Sub-contractors (7.4(iii)) - No. of s/c NOT registered (Attach names in comments below or in relevant evidence column)			
Special Instructions relating to Programme of works (7.5.1 (ii) 1)			
Production & Service Provision - Communicate Equipment req'd & method of installation / removal of materials to meet Contract spec (7.5.1 (ii) 2)			
Production & Service Provision - Control of processes - Materials used are as specified or approved by Customer (7.5.1 (iii) 1)			
Production & Service Provision - Control of processes - Materials are clearly identifiable (7.5.1 (iii) 2)			
Production & Service Provision - Control of processes - Presence of Registered Authorised Persons/Authorised Persons during the works (7.5.1 (iii) 3) - INCLUDING VALID ECS HERS Cards			
Production & Service Provision - Control of processes - System for dealing with variation orders (7.5.1 (iii) 4)			
Production & Service Provision - Control of processes - Requirements of NHSS 12 / Ch. 8 / Traffic Signs Manual where road is open to public use (7.5.1 (iii) 5) (i.e. NRSWA Unit 2/10 + /or 302.1/302.2)			
Production & Service Provision - Control of processes - Contracts maintenance / defects period activities (7.5.1 (iii) 6)			
Production & Service Provision - Control of processes - Timely notification to the customer of problems which may affect the planned programme within one working day (7.5.1 (iii) 7)			
Production & Service Provision - Control of processes - Agreed procedure for emergency works (7.5.1 (iii) 8)			
Production & Service Provision - Control of processes - The control of sub-contractors (7.5.1 (iii) 9) - e.g. Issue of orders etc..			

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Production & Service Provision - Control of processes - Statutory undertakers plant details - when main contractor - details of services & structures c/w names & addresses of persons responsible for them (7.5.1 (iii) 10,11)			
Production & Service Provision - Control of processes - Statutory undertakers plant details - when sub-contractor - details of services & structures from main contractor (7.5.1 (iii) 10,12)			
Production & Service Provision - Control of processes - System for ensuring equipment fixed to parapets is safe (7.5.1 (iii) 13)			
Production & Service Provision - Control of processes- Access to Technical Standards - Identification and working knowledge of relevant documents in Appendix B (7.5.1(iv))			
Production & Service Provision - Control of processes - Origin of materials meets Contract Spec (7.5.3)			
Production & Service Provision - Control of processes - Process for customer supplied material (7.5.4)			
Production & Service Provision - Control of processes - Preservation of Product - deliveries, storage, protection from deterioration / damage (7.5.5(i), (ii), (iii))			
Control of Monitoring & Measurement Devices - Adequate number of calibrated test instruments & leads & processes to demonstrate manner & frequency of calibration - records (7.6(i))			
Control of Monitoring & Measurement Devices - Limits of calibration tolerance in accordance with manuf. Spec. (7.6(i) 1) and Calibration traceable to National Standards (7.6(ii))			
Measurement, Analysis & Improvement - Inspection & testing to meet Contract spec (8.1)			
Monitoring & Measurement - Internal audit to cover quality management system in twenty four months (8.2.2-1)			
Monitoring & Measurement - Technical audit - biennial (8.2.2-2)			
Internal Site Audits of site personnel (incl. asking for Registration Card) - (full audit of all competencies not required) (8.2.2-3)			
Control of Non-conforming Product - Materials not to Spec to be discarded, re-worked or formally accepted by Client (8.3)			

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H&S Policy Statement - reviewed in last 2 years			
H&S Policy Document - reviewed in last 2 years			
Competent H&S advice - name and details of who provides this (e.g. Employee / consultant) (ASLEC-CDM3)			
CDM Co-ordinator - if organisation acts in this role - who + details (H&S qualifications) (ASLEC-CDM 14)			
Workforce involvement in H&S - how is workforce consulted; records (ASLEC-CDM 7)			
Designers Hazard Elimination and Mgt Lists / Records (ASLEC-CDM 10)			
Risk Assessments (6.2 (ii) 1) - existence and communication			
Risk Assessments (6.2 (ii) 1) - process for review (might be as part of H&S policy review)			
Method Statements (6.2 (ii) 2; 7.5.1(i))			
Accident / Incident Recording & Investigation - including last 2 accidents + any enforcement action over last 5 years (CDM)			
Accident Review (at least annually) and Reduction Strategy			
Effective Environmental Policy (e.g. ISO 14001)			
Recycling of waste where practicable (Lumicom or other EA approved for luminaires / traffic signal heads and controllers)			
Ensure work meets relevant Specs, Standards & CoP's.			
NICEIC Registered (ASLEC Class 1 Member only)			
Co-operating with others and co-ordinating work with other contractors (ASLEC-CDM 12)			
Welfare Provision (ref to in H&S Policy; e.g.'s of facilities provided) (ASLEC-CDM 13)			
Select materials that provide value for money for the client			

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Human Resources - Training Plan (6.2.2(iv))			
Human Resources - Records of Induction Training (6.2.2(ii) 1 a)			
Human Resources - Records of Training in Organisation's operating procedures & safe systems of work (6.2.2(ii) 1 b)			
Human Resources - Records of Training in accordance with national standards / the Training Specification - incl. HEA Approved Trg Orgs (6.2.2(ii) 2)			
Human Resources - N/SVQ Registration / Assessment (where applicable) (6.2.2(ii) 2) from October 2009			
Human Resources - Issue of Authorisation Certificates (6.2.2(ii) 3 a, b)			
Human Resources - Procedures for on-going competence / Desk-top review (6.2.2(ii) 3 c)			
Human Resources - Training Plan including Refresher Training at intervals not greater than every 5 years (6.2.2(iv))			
Human Resources - Re-assessment on site including site assessments and recorded oral questions at intervals not greater than every 5 years (other evidence may be older)			
Total no. of registrable employees at this location (list - holiday chart, depot family tree)			
Total no. of Registered Authorised Persons at this location			
Total no. of portfolios to be reviewed (sample size)			
Process to review and communicate customer specification requirements			
Process to monitor delivery performance			
Access to appropriate British and EU Standards and Industry Guidance			
Raw / Incoming Material Control system			
H&S Factory inspection			
Gareth's questions (leave blank and pass to Gareth on completion)			