



















































































## Appendix 9. Audit Checklist

Reference	
1 (Section 4.1)	Was a STFC Client appointed for all projects with sufficient resources?
2 (Section 3)	Were all construction projects managed under the Code 13 (or Code 15 where only one contractor)?
3 (Section 4.2.3)	Was a Principal Designer appointed to all projects in writing if required?
4 (Section 4.2.4)	Was a Principal Contractor appointed to all projects in writing if required?
5 (Section 4.2.8 and Appendix 3)	Were the STFC management arrangements confirmed for all projects?
6 (Section 4.4.5 and Appendix 4)	Was suitable and sufficient pre-construction information generated for all projects?
7 (Section 4.2.6, Appendix 1 and Appendix 7)	Is there evidence that the competence of duty holders have been checked?
8 (Section 4.2.12 and Appendix 6)	Was a Construction Phase Plan reviewed prior to construction commencing in all projects?
9 (Section 4.2.7 and Appendix 2)	Was an F10 produced (if required) and displayed as required?
10 (Section 4.5.12)	Evidence that the Principal Contractor has managed the interface between contractor's works and on-going STFC activities for all projects.
11 (Section 4.2.10 and Appendix 6)	Are Construction Phase Plans regularly updated during the construction phase to manage risk effectively?
12 (Section 4.5.9 and Appendix 5)	Were all contractors and visitors inducted by the STFC and the Principal Contractor?
13 (Section 4.3.8)	Did all Principal Contractors report all SHE incidents?

14 (Section 4.4.6, Section 4.5.10 and Appendix 8)	If required, were Health and Safety Files produced as part of construction projects?
15 (Section 4.2.4)	Was the SHE performance of the projects reviewed on completion?

## Appendix 10. Document retention requirements

***This is for health and safety purposes only. Some information may have importance for commercial consideration and may need to be retained e.g. guarantee information, performance information, etc.***

Records established	Minimum retention period	Responsible record keeper	Location of records
Appointment of Client	Duration of the contract and its successful conclusion.	Director	STFC Local record systems
Contract tender documentation		Appointed Client	
Pre-contract information			
Pre-construction information		Principal Designer / Principal Contractor	
Letters of appointment for Principal Designer and Principal Contractor		Appointed Client	
F10		HSE website	Displayed on CDM site
Construction Phase Plan		Principal Contractor	CDM Site records
Competency Criteria		STFC	STFC Local record systems
Health and Safety File	Life of the asset or until modified.	STFC	Local record systems

## Appendix 11. Letters of appointment

See the SHE Directory (on the STFC SHE website) for letter templates

- Client
- Principle Designer
- Principle Contractor