

**Self-assessment checklist for principal contractors**

***CLOCS Standard Version 4***

**Introduction to the self-assessment checklist**

The CLOCS Standard Version 4 requires effective monitoring of site compliance. For Principal Contractors this is detailed under Section 5.10 of the Standard. For information about mechanisms for effective monitoring and assessment please refer to the CLOCS website. The self-assessment checklist is completed by the Principal Contractor to support a formal CLOCS site review visit but can also be used for internal purposes.

**Understanding the checklist**

Section 5 of the CLOCS Standard outlines all requirements of Principal Contractors, some of which are mandatory (designated by ‘shall’ within the Standard) while others are recommended or optional (designated by ‘should’ or ‘may’). As well as looking to establish whether the Standard is being met, the assessment process also looks to recognise best practice with the aim of raising standards across the industry.

This self-assessment checklist reflects the requirements of Section 5 of the CLOCS Standard, as they apply to Principal Contractors. The questions highlighted in **bold** below indicate the compliance requirements of the CLOCS Standard, while the non-bolded *italicised* questionslook to establish and capture performance beyond these minimum requirements.

**How the self-assessment checklist supports a CLOCS site visit**

A CLOCS self-assessment checklist must be completed by the site teamand sent to the CLOCS monitoring team in advance of the site review visit. A CLOCS Monitor will then visit the site to review the self-assessment through discussion and observation. The site team will be expected to provide suitable evidence to demonstrate and explain how they are addressing these questions. The guidance note ‘Preparing for your CLOCS monitoring visit’ provides additional information.

**Self-assessment checklist for principal contractors**

***CLOCS Standard Version 4***

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| ***Project*** |       |
| ***Contractor*** |       | ***Scheme ID*** |       |
| ***Completed by*** |       | **Date** |       |

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| **1** | **COMMUNITY IMPACT (CLOCS Standard 5.1)**Principal contractors **shall** ensure the project’s potential impact on the community has been properly risk-assessed |  | **Y** | **N** |
| **1.1** | **Has the principal contractor demonstrated to the client that community considerations have been properly considered by implementing a suitable and sufficient Construction Logistics Plan (CLP)?** |  | [ ]  | [ ]  |
| *1.2* | *Has the principal contractor considered community engagement activity throughout the project?* |  | [ ]  | [ ]  |
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| **2** | **CONSTRUCTION LOGISTICS PLAN (CLOCS Standard 5.2)**Principal contractors **shall** develop and/or implement the agreed CLP and ensure it is appropriately reviewed and updated prior to the start of each new phase of construction |  | **Y** | **N** |
| **2.1** | **Does the CLP meet the minimum standards as defined by CLOCS which states that the CLP shall address the areas as described by questions 2.1.1 to 2.1.7 below?** |  |  |  |
| **2.1.1** | **Have input from significant site and fleet operators?** |  | [ ]  | [ ]  |
| **2.1.2** | **Have considered, agreed and committed to planned measures where practical?** |  | [ ]  | [ ]  |
| **2.1.3** | **Have risk-assessed and specified the safest vehicle routes and identified acceptable reasons for deviation?** |  | [ ]  | [ ]  |
| **2.1.4** | **Define ‘last mile’ vehicle routes to and from site?** |  | [ ]  | [ ]  |
| **2.1.5** | **Require use of a delivery management system?** |  | [ ]  | [ ]  |
| **2.1.6** | **Require competent site access traffic marshals?** |  | [ ]  | [ ]  |
| **2.1.7** | **Remain a live document?** |  | [ ]  | [ ]  |
| **2.2** | **Has the principal contractor implemented the agreed CLP?** |  | [ ]  | [ ]  |
| **2.3** | **Has the principal contractor ensured that the CLP is appropriately reviewed and updated prior to the start of each new phase of construction?** |  | [ ]  | [ ]  |
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| **3** | **SITE AND FLEET OPERATOR PROCUREMENT (CLOCS Standard 5.3)**Principal contractors **shall** procure site and fleet operations that comply with the requirements of the CLOCS Standard |
| Projects are no longer assessed against this section of the CLOCS Standard as these requirements are deemed to be the responsibility of Head Office procurement teams and are typically outside the control of the site team. |
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| **4** | **DELIVERY MANAGEMENT SYSTEM (CLOCS Standard 5.4)**Principal contractors **shall** ensure use of an effective delivery management system to minimise congestion, disruption and emissions |  | **Y** | **N** |
| **4.1** | **Does the principal contractor operate an effective system that manages deliveries to and from site?** |  | [ ]  | [ ]  |
| *4.2* | *Does the delivery management system include the capacity to undertake the tasks, as described by questions 4.2.1 to 4.2.5?* |  |  |  |
| *4.2.1* | *Plan and schedule delivery times?* |  | [ ]  | [ ]  |
| *4.2.2* | *Capture vehicle/driver details and accreditation?* |  | [ ]  | [ ]  |
| *4.2.3* | *Co-ordinate with neighbouring sites?* |  | [ ]  | [ ]  |
| *4.2.4* | *Control and reduce peak hour traffic?* |  | [ ]  | [ ]  |
| *4.2.5* | *Include the complexity of holding areas?* |  | [ ]  | [ ]  |

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| **5** | **VEHICLE ROUTES (CLOCS Standard 5.5)**Principal contractors **shall** ensure that the vehicle routes to and from site committed to in the associated CLP are specified and communicated |  | **Y** | **N** |
| **5.1** | **Does the principal contractor make all sub-contractors, fleet operators and service suppliers aware of the requirement to use specified routes at all times?** |  | [ ]  | [ ]  |
| **5.2** | **Does the principal contractor clearly communicate permitted deviations, such as temporary road closure or road traffic incidents?** |  | [ ]  | [ ]  |
| *5.3* | *Does the principal contractor ensure any deviations from designated, permitted or controlled routes are justified, with unauthorised deviations investigated and reported to the client?* |  | [ ]  | [ ]  |
| *5.4* | *Does the principal contractor ensure the reasons behind adopting a specific vehicle route are clearly communicated?* |  | [ ]  | [ ]  |
| *5.5* | *Does the principal contractor distribute maps or other routing information to all companies/drivers accessing the site?* |  | [ ]  | [ ]  |
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| **6** | **GROUND CONDITIONS (CLOCS Standard 5.6)**Principal contractors **shall** ensure the ground conditions of the site are suitable for the vehicles servicing the site, particularly those fitted with safety features |  | **Y** | **N** |
| **6.1** | **Does the principal contractor carry out regular reviews of the ground conditions of the site and where necessary implement diversions as the site ground conditions change?** |  | [ ]  | [ ]  |
| *6.2* | *Does the principal contractor ensure that the site is suitable for access by low entry vehicles with increased direct vision?* |  | [ ]  | [ ]  |
| *6.3* | *Does the principal contractor ensure that the site is assessed and rated using the CLOCS Handbook ‘Assessment for on-site ground conditions’?* |  | [ ]  | [ ]  |
| *6.4* | *Are copies of ground condition assessments provided to fleet operators servicing the site?* |  | [ ]  | [ ]  |
| *6.5* | *Are copies of ground condition assessments available at site access points for drivers who may require it?* |  | [ ]  | [ ]  |
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| **7** | **ACCESS AND EGRESS (CLOCS Standard 5.7)**Principal contractors **shall** ensure that access to and egress from the site is appropriately managed, clearly marked, understood and clear of obstacles |  | **Y** | **N** |
| **7.1** | **Does the principal contractor ensure that effective traffic management principles are adhered to through various means as described by questions** **7.1.1 to 7.1.3?** |  |  |  |
| **7.1.1** | **Minimising potential hazards e.g. using one-way systems, traffic lights and calming measures?** |  | [ ]  | [ ]  |
| **7.1.2** | **Assisting with safe vehicle access and egress?** |  | [ ]  | [ ]  |
| **7.1.3** | **Using additional equipment such as wide angled mirrors to aid the driver’s view of the road?** |  | [ ]  | [ ]  |
| **7.1.4** | **Fully engaging with fleet operators where issues are identified to ensure a timely resolution?** |  | [ ]  | [ ]  |
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| **8** | **SITE ACCESS CHECKS (CLOCS Standard 5.8)**Principal contractors **shall** ensure effective and efficient site access gate checks |  | **Y** | **N** |
| **8.1** | **Has the principal contractor appointed competent site access traffic marshal(s) to manage site traffic in the context of the delivery management system?** |  | [ ]  | [ ]  |
| **8.2** | **Do competent site access traffic marshal(s) check through general observation and sufficiently frequent spot checks those areas as described by questions 8.2.1 to 8.2.2?** |  |  |  |
| **8.2.1** | **Vehicles and drivers meet the requirements of the CLOCS Standard?** |  | [ ]  | [ ]  |
| **8.2.2** | **That the specified route has been followed?** |  | [ ]  | [ ]  |
| **8.3** | **Does the principal contractor ensure that each instance of non-compliance is immediately risk-assessed, appropriately mitigated and addressed through contract management?** |  | [ ]  | [ ]  |
| *8.4* | *Does the principal contractor report any non-compliant fleet operators to the relevant accrediting body?* |  | [ ]  | [ ]  |
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| **9** | **LOADING AND UNLOADING (CLOCS Standard 5.9)**Principal Contractors **shall** ensure that vehicles are loaded and unloaded on-site as far as is practicable |  | **Y** | **N** |
| **9.1** | **Does the principal contractor provide a stable, graded surface on-site for vehicle loading and unloading, or where necessary, has a suitable ‘off-loading’ area off-site been identified?** |  | [ ]  | [ ]  |
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| **10** | **COMPLIANCE REPORTING (CLOCS Standard 5.10)**Principal contractors **shall** ensure effective monitoring of site compliance to the CLOCS Standard |  | **Y** | **N** |
| **10.1** | **Does the principal contractor provide the client with regular reports to monitor compliance against the CLOCS Standard on a basis as described by questions 10.1.1 to 10.1.3?** |  |  |  |
| **10.1.1** | **Monthly reports that include performance of both fleet and site operations?** |  | [ ]  | [ ]  |
| **10.1.2** | **Quarterly reports that are reviewed by both principal contractor and client to identify trends and any need for remedial action?** |  | [ ]  | [ ]  |
| **10.1.3** | **Six monthly (approximately) independent assessments by the CLOCS site monitoring team?** |  | [ ]  | [ ]  |
| **10.2** | **Where non-compliance is identified, has an action plan to address all key issues been obtained and monitored?** |  | [ ]  | [ ]  |
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| **11** | **COLLISION AND EMISSION REPORTING (CLOCS Standard 5.11)**Principal contractors **shall** obtain from all regular or significant project or supply chain partners their headline performance information on collisions and emissions, and as importantly, and where appropriate, obtain a credible improvement plan. Principal contractors **shall** proactively report all relevant annualised performance data and improvement plans to their client(s). |
| Projects are no longer assessed against this section of the CLOCS Standard as these requirements are deemed to be the responsibility of Head Office procurement teams and are typically outside the control of the site team. |

If you have answered ‘N’ to any of the questions above and would like to provide clarification or additional information, please do so below. Use an additional sheet if necessary

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| **QUESTION** | **NOTES** |
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***Additional information***

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| **SUPPLY CHAIN COMPLIANCE DATA (Data to be captured for last full calendar month)** |
| Number of vehicle movements in last full calendar month |       | Number checked |       | Number found to be compliant |       |

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| **ANY ADDITIONAL COMMENTS** |
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| **DECLARATION** |
| I declare that I have completed this CLOCS Self-assessment checklist for principal contractors accurately and to the best of my abilities. |
| Name |       | Position |       |
| Date |       |  |  |