



SCC-VAZ DOCUMENT 003

SCC CHECKLIST
(SAFETY CERTIFICATE CONTRACTORS)

CHECKLIST FOR ASSESSING THE SGU MANAGEMENT SYSTEM OF CONTRACTORS

Please note:

The programme names SCC-VAZ 2021 and SGU Personnel VAZ 2021 are described below as SCC and SGU Personnel for ease of reading.

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Table 003-1: Structure of the SCC Checklist, Document 003 (version 2020)

Chapter		Total questions	Compulsory / supplementary questions		
			SCC*	SCC**	SCC ^P
1	SGU: Management policy, organisation and commitment	8	4 / 0	6 / 2	7 / 1
2	SGU risk assessment	4	4 / 0	4 / 0	4 / 0
3	SGU training, information and instructions	9	9 / 0	9 / 0	9 / 0
4	SGU awareness	2	0 / 0	1 / 1	2 / 0
5	SGU project plan	5	0 / 0	5 / 0	5 / 0
6	Environmental protection	2	1 / 0	1 / 1	1 / 1
7	Preparation for emergency situations	2	1 / 0	1 / 1	1 / 1
8	SGU inspections	2	1 / 0	1 / 1	2 / 0
9	Company medical care	4	2 / 0	2 / 2	2 / 2
10	Procurement and testing of machines, devices, equipment and working materials	2	2 / 0	2 / 0	2 / 0
11	Procurement of services	3	0 / 0	3 / 0	3 / 0
12	Reporting, registration and investigation of accidents, near misses and unsafe situations	6	3 / 0	5 / 1	6 / 0
	Total	49	27	40 / 9	44 / 5

Structure of the SCC checklist

Each question on the checklist is marked, i.e. with the following:

* / | ** □ | P ☒

these have the following meanings

* SCC* ** SCC** P SCC^P

/ Not applicable – to be omitted

□ Supplementary question

☒ Mandatory question

Each question contains information about:

Objective

Formulation of the objective to be achieved by meeting the minimum requirements

Minimum requirements

- Formulation of the requirements that must at least be fulfilled for the question
- Questions can only be positively assessed in their entirety, i.e. only if all minimum requirements of the question are met

Documents

- The documents that count towards the question, which must be inspected and evaluated during the examination

Interview and observation

- The verification of the implementation and application of the submitted documents through interviewing and on-site observation at the workplace
- The company doctor should be audited annually. If the company doctor cannot be audited in a three-year cycle, the corresponding questions on occupational health care must be answered by the entrepreneur and the OSS. Appropriate proof (e.g. preventive medical card index, report on occupational health care and coordination of tasks between the company doctor and OSS) must be submitted.
- For companies that have joined the company model, proof of implementation of the same, including proof of the last needs-based care by the company doctor, must be submitted by the entrepreneur.
- The occupational health and safety officer (OSS) must personally participate in each audit

Chapter 1 SGU: Management policy, organisation and commitment

The pursuit of a structured SGU policy, focused on the continuous SGU improvement process, as well as on the reduction of accidents, of work-related health hazards and unsafe situations, and of environmental and property damage.

1.1 Has the company formulated its SGU policy in a policy statement?

* | ** | P

Objective

The SGU policy statement expresses the positive attitude, commitment and responsibility of the upper management level

Minimum requirements

- The SGU policy must include the following aspects:
 - the prevention of accidents
 - the prevention of occupational diseases
 - the prevention of work-related health hazards
 - the prevention of environmental and property damage
 - the striving for continuous improvement of the SGU standard
- The SGU policy must be approved by the upper management of the company (e.g. board of directors, company management) and put into effect
- The SGU policy must be known to all employees and the subcontractors engaged
- The SGU policy must be reviewed at least every three years and – if necessary – updated

Documents

- Policy statement and notice

Interview and observation

- Interviewing upper management
- Employee awareness survey

1.2 Does the company have a company medical and safety service?

* | ** | P

Objective

Those responsible in the company should have access to expert advice and support in all matters relating to occupational health and safety

Minimum requirements

In the case of standard occupational medical care in accordance with *DGUV (German statutory accident insurance) Regulation 2* of the responsible employers' liability insurance association or accident insurance fund:

- The entrepreneur has determined the tasks of the company doctor within the framework of basic care and the company-specific part of the care with the involvement of the company's representation of interests in accordance with *DGUV Regulation 2* and in compliance with §3 *ASiG (German Occupational Safety Act)* and compared them with those of the OSS
- Written appointment of an employed occupational physician or a freelance occupational physician or an inter-company occupational health service with agreement on the tasks identified
- In addition to the agreed working time in accordance with *DGUV Regulation 2*, the role description of the company doctor also contains their responsibilities and powers as well as the identified tasks
- Proof of the company doctor's specialist occupational medical knowledge and regular advanced training is available
- The company doctor is directly assigned to the plant management as an advisor; the assignment is shown in the organisation chart. The company doctor is known to the employees
- The company doctor shall regularly prepare a written report on the fulfilment of the tasks assigned to them and, if applicable, on cooperation with the OSS

In the case of safety-related standard care in accordance with *DGUV Regulation 2* of the responsible employers' liability insurance association or accident insurance fund:

- The entrepreneur has determined the tasks of the OSS within the framework of basic care and the company-specific part of the care with the involvement of the company's representation of interests in accordance with *DGUV Regulation 2* and in compliance with §6 *ASiG* and compared them with those of the company doctor
- Written appointment of an OSS employed in the company or a freelance OSS or an inter-company safety service with agreement on the tasks identified.
- In addition to the agreed working time in accordance with *DGUV Regulation 2*, the role description of the OSS also contains their responsibilities and powers as well as the identified tasks.

- For the OSS, there is proof of safety-related expertise and regular further training.
- The OSS is directly assigned to the plant management as an advisor; the assignment is shown in the organisation chart. The OSS is known to the employees.
- The OSS shall regularly prepare a written report on the fulfilment of the tasks assigned to them and, if applicable, on cooperation with the company doctor.

In the case of alternative needs-oriented occupational medical and safety care (company model) in accordance with *DGUV Regulation 2* of the responsible employers' liability insurance association or accident insurance fund:

- The entrepreneur shall provide evidence of participation in the motivation and information measures.
- The entrepreneur participates in recognised training measures in accordance with the regulations of the respective social accident insurance institution and has a certificate for this.

Documents

- Proof of the determination and division of the tasks of the occupational physician and the OSS within the framework of the standard supervision and the company-specific part of the supervision
- Appointment letter or contract for occupational medical care with proof of occupational medical expertise (certificate of the medical association)
- Appointment letter or contract for safety-related care with proof of safety expertise (certificate of a state-recognised training body)
- Further and advanced training certificates¹
- Functional descriptions
- Organisation chart/display of the organisational structure (see question 1.3), possibly on the notice board
- Proof of participation in recognised further training measures within the framework of the alternative demand-based supervision by occupational physicians and occupational safety specialists
- Evidence of demand-based supervision (evidence of counselling)
- Reports of the company doctor and the OSS

Interview and observation

- Interviewing upper management, the OSS and the company doctor
- Interviewing employees

¹ Regular advanced training in the SCC sense is understood as the in-service updating of knowledge and continuous expansion of professional skills – not the advanced training periods resulting from the (sample) regulation on further education. Regular advanced training in the SCC sense refers to the legal obligation to provide professional further training. Proof of compulsory further training can be provided by the five-year further training certificates of the medical associations.

1.3 Does the company have an SGU organisation?

* / | ** | P

Objective

SGU tasks, expertise and responsibilities must be defined by all senior management (from company management to the master craftsperson and foreperson level)

Minimum requirements

- Organisational structure, which must include the following details:
 - Representation of the line functions
 - Presentation of the advisory SGU functions and their connection to the line functions (e.g. company doctor, OSS, safety officer, company environmental protection officer)
- Definition of SGU tasks, skills and responsibilities for all managers (upper management to master craftsperson/foreperson, etc.)

Documents

- Organisation chart
- Function/job descriptions of managers (possibly in connection with delegations of duties) in the line
- Function/job descriptions of the staff functions in occupational safety and health (e.g. company doctor, OSS, safety officer, company environmental protection officer)

Interview and observation

- Interviewing upper management and the OSS
- Interviewing employees on the level of awareness of the appointed persons

1.4 Are the senior operations managers assessed regarding SGU aspects? ²

* / | ** | P

Objective

The positive influence on the SGU behaviour of senior operations managers

Minimum requirements

- Application of an assessment system that includes SGU aspects
- Written assessment of the senior operations managers with references to SGU strengths and improvement potentials as well as follow-up measures with regard to SGU aspects
- The respective higher management level assesses the management level reporting to it at least once a year based on existing function/job descriptions

Documents

- Description of the assessment system
- Assessment reports/protocols

Interview and observation

- Interviewing upper management and senior operations managers

² Senior operations managers are authorised to issue instructions and are involved in the provision of services (e.g. site manager, project manager, master craftsman, technician, foreman, senior fitter, supervisor)

1.5 Are upper and middle management actively involved in SGU?

* / | ** | P

Objective

The active and visible involvement of upper and middle management demonstrates the importance that management places on a safe, healthy and environmentally sound workplace

Minimum requirements

- Established documented procedure for conducting regular SGU inspections by upper and middle management including derivation of measures
- Conducting SGU inspections by upper and middle management at least 2 times per year (e.g. on construction sites and in workshops) ³
- Include SGU topics in routine senior and middle management meetings
- Participation in the investigation of accidents with and without lost work time, near misses and unsafe situations
- Participation in the development of SGU improvement proposals
- Participation in the preparation of the SGU annual planning

Documents

- Procedural instruction for SGU inspections
- List by name/assignment of members of middle and upper management
- Meeting and inspection minutes with findings and follow-up actions
- Examples of SGU improvements contributed by management representatives
- SGU annual planning

Interview and observation

- Interviewing upper and middle management

³ Joint inspections by upper and middle management and the responsible managers (cf. question 8.1) are also possible (e.g. company management, site manager and foreperson). The inspections shall be documented and countersigned by the participants. Corresponding proof will be evaluated for all listed participants as part of question 1.5.

1.6 Does upper management evaluate SGU performance for compliance with SCC requirements? (SCC compliance audit and assessment)

* | ** | P

Objective

Ensure the continued suitability, adequacy and effectiveness of the SGU management system to meet SCC requirements

Minimum requirements

- Established documented procedure for internal SGU audits including derivation of measures
- Systematic internal SGU audits with a view to assessing compliance with the SGU requirements of the SCC checklist. If a company with branches is to be certified according to IAF Document MD 1 (multisite procedure), the internal SGU audits must be carried out once a year not only in the head office but in all included branches. The audits shall be documented in audit reports in a comprehensible manner.
- Annual assessment by upper management of the continuing suitability, adequacy and effectiveness of the SGU management system to meet SCC requirements.

Documents

- Procedural instruction
- Internal audit reports
- Annual report by upper management, e.g. as part of management review

Interview and observation

- Interviewing upper management and the OSS

1.7 Are company objectives formulated to prevent accidents and are appropriate measures taken and their effectiveness checked?

* | ** | P

Objective

Avoidance of accidents or reduction of the accident frequency in the company

Minimum requirements

- Adoption of measurable company objectives to avoid accidents or reduce the frequency of accidents
- Preparation of an action plan with definition of
 - the preventive and corrective measures
 - the persons responsible
 - the scheduling
- Review of the action plan at least once a year and initiation of corrective measures if necessary

Documents

- Defined corporate objectives, possibly posted on notice board
- Action plan, possibly posted on the notice board
- Proof of continuous review of the action plan

Interview and observation

- Interviewing upper management
- Employee awareness survey

1.8 Are general company objectives for improving the SGU management system formulated and are corresponding measures taken and their effectiveness checked?

* / | ** □ | P ☒

Objective

Ensure the continuous improvement of the SGU management system

Minimum requirements

- Adoption of measurable corporate objectives, taking into account
 - results of the internal SGU audits (see question 1.6)
 - results of SGU activities of upper and middle management (see question 1.5)
 - Assessment of managers according to SGU aspects, if applicable (see question 1.4)
 - records of workplace inspections and evaluations of inspection records (see questions 8.1 and 8.2)
 - records of the investigation of accidents and other incidents (see questions 12.1, 12.2, 12.4 and 12.5)
 - feedback and complaints regarding SGU from clients
- Preparation of a SGU action plan with a definition of
 - the measures to achieve the objectives
 - the persons responsible
 - the scheduling
- Review of the SGU action plan at least once a year by upper management and, if necessary, initiation of corrective measures, e.g. as part of the management review

Documents

- Defined corporate objectives, possibly posted on notice board
- SGU action plan, possibly posted on notice board
- Upper management report, if applicable in conjunction with the assessment of other management systems (e.g. quality, environment)

Interview and observation

- Interviewing upper management
- Employee awareness survey

Chapter 2 SGU risk assessment

Systematic and comprehensive investigation to identify and assess workplace hazards and stresses and derive appropriate measures.

2.1 Is an assessment of the company-specific hazards carried out and documented?

* | ** | P

Objective

The determination and control of company-specific SGU hazards and pressures

Minimum requirements

- The assessment of operational working conditions in accordance with the ArbSchG (German Occupational Safety and Health Act) and other occupational health and safety regulations is carried out according to a defined procedure.
- The risk assessment is carried out for all company-specific activities (mostly related to trades) with the active participation of the users.
- After each accident or near miss (see chapter 12), the company-specific risk assessment is examined and revised if necessary.
- At least once a year, the company risk assessment is reviewed to ensure it is up-to-date and effective (e.g. taking into account changed occupational safety and health requirements, introduction of new procedures) and revised if necessary.

Documents

- Established procedure (usually becomes clear from the risk assessment itself and does not need to be described separately)
- Current documents showing the hazards identified, their assessment, the measures defined and the result of the review

Interview and observation

- Interviewing upper management and the OSS
- Interviewing employees on the company-specific hazards

2.2 Is a workplace-related risk assessment carried out and documented?

* | ** | P

Objective

The identification and control of workplace-related SGU hazards and exposures (e.g. on construction sites, during assembly operations)

Minimum requirements

- An assessment of the workplace-related occupational and environmental protection conditions is carried out prior to the commencement of activities for the places of deployment (e.g. construction sites, assembly operations) according to a defined procedure
- Based on this assessment, a decision is made as to whether the assessment of the company-specific hazards (question 2.1) is sufficient or whether an additional, workplace-related risk assessment is to be carried out
- The workplace-related risk assessment is carried out with the active participation of the users
- After every accident or near miss (see chapter 12), the workplace-related risk assessment is examined and revised if necessary

Documents

- Established procedure (usually becomes clear from the risk assessment itself and does not need to be described separately)
- Current documents showing the hazards identified, their assessment, the measures defined and the result of the review

Interview and observation

- Interviewing upper management and the OSS
- Interviewing employees about the hazards on site

2.3 Is an LMRA (last minute risk analysis)⁴ carried out immediately before work starts?

* | ** | P

Objective

Immediately before starting work on construction sites, during assembly work, etc., employees check whether all hazards have been identified and suitable countermeasures have been taken.

Minimum requirements

- The LMRA is carried out systematically and consistently according to a set procedure.

Documents

- Established procedure⁵ (can also be communicated orally directly in companies with ≤ 35 employees)
- Application examples
- If applicable LMRA leaflets, LMRA info cards, LMRA checklists, etc.

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.

⁴ LMRA – LAST MINUTE RISK ANALYSIS – is, on the one hand, a tool to raise awareness for risk assessment and risk reduction and, on the other, a short assessment carried out immediately before work starts at the workplace by employees doing the work. If a construction squad is on site, the squad leader will perform the LMRA immediately at the designated work site before starting work; the conscious participation of each individual is desirable. The aim is that all (potential) SGU risks in the workplace are identified by employees in order to prevent accidents. The LMRA can be done without additional records, using tools (checklists, maps or similar) or in any other form. If an LMRA indicates that there are risks in carrying out the planned work, work shall not commence until all risks have been eliminated by appropriate measures. The risks identified and the measures taken shall be documented. An LMRA must be repeated if activities or environments change; therefore, an LMRA once a day may be sufficient, but is not necessarily the case.

⁵ If clients have defined their own specifications for the LMRA, these must be complied with.

2.4 Is personal protective equipment (PPE) adapted to the requirements provided to the employees free of charge and is it maintained and replaced if necessary?

* | ** | P

Objective

Protect employees from accidents, occupational diseases and work-related health hazards by providing appropriate PPE

Minimum requirements

- Ensure that PPE is available to all employees based on company and, where appropriate, workplace risk assessments and taking into account the relevant occupational health and safety regulations.
- The provision and maintenance of PPE is free of charge for the company's employees.
- Operating instructions for the use of the respective PPE are available and generally accessible. The employees are instructed accordingly.

Documents

- Risk assessment (see questions 2.1 and 2.2)
- List of the PPE provided
- Operating instructions and proof of instruction

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.

Chapter 3 SGU training, information and instruction

It is important for the safety and health of all employees that they have the appropriate expertise. In this context, internal requirements must be defined and recorded in a personnel qualification overview.

3.1 Do all employees have sufficient and up-to-date qualifications in relation to the work they are to perform for the company?

* | ** | P

Objective

In order to fulfil the tasks, all employees must have sufficient and up-to-date professional qualifications as well as the necessary professional experience

Minimum requirements

- Established documented procedure for ensuring qualifications
- Definition of qualifications
- Systematic planning of training

Documents

- Procedural instruction
- Job descriptions
- Training plan with assignment of employees
- Proof of qualifications and training (e.g. references, certificates)

Interview and observation

- Interviewing the persons responsible for human resources
- Interviewing employees

3.2 Do all operative employees have⁶ proof of a successfully completed, recognised SGU examination?

| ** | P

Objective

All operative employees working within the scope of the SCC certificate have the required basic SGU knowledge

Minimum requirements

All employees (at least 90%) who are operationally active within the scope of the SCC certificate and who have been employed by the company for longer than 3 months must produce proof of either

- have successfully completed an SGU training including examination (document 016)

or

- have training as a specialist for occupational safety

or

- have successfully passed a recognised SGU examination at an accredited personal certification body in accordance with document 017 or 018

or

- a VCA diploma – provided it is listed in the Central Diploma Register, see <http://www.vca.ssvv.nl>

Documents

- List of the operative employees of the company
- When applying document 016: training certificates
- Audit evidence

Interview and observation

- Interviewing operative employees

⁶ Operative employees are directly involved in the provision of services (e.g. workers, skilled workers, fitters)

3.3 Do all senior operations managers⁷ have proof of a successfully completed, recognised SGU examination?

* | ** | P

Objective

All senior operations managers working within the scope of the SCC certificate have the required SGU knowledge

Minimum requirements

All senior operations managers (at least 90%) who are operationally active within the scope of the SCC certificate and who have been employed by the company for longer than 3 months must produce evidence of either

- have training as a specialist for occupational safety
- or
- have successfully passed a recognised SGU examination at an accredited personal certification body in accordance with document 017
- or
- a VCA diploma – provided it is listed in the Central Diploma Register, see <http://www.vca.ssvv.nl>

Documents

- Organisation chart/list of the company's senior operations managers
- Audit evidence

Interview and observation

- Interviewing senior operations managers

⁷ Managers at the operative level are authorised to issue instructions and are involved in the provision of services (e.g. site manager, project manager, master craftsperson, technician, foreperson, senior fitter, supervisor)

3.4 Do the employees who carry out particularly hazardous work for the company or are assigned to particularly hazardous work areas have special knowledge and training certificates?

* | ** | P

Objective

Employees are informed about special hazards (see question 2.1) and hazardous work areas (see question 2.2) as well as about the established protective measures and have special knowledge and training certificates

Minimum requirements

- Established documented procedure taking into account document 009
- Deployment of suitable employees in accordance with company and workplace-related risk assessment

Documents

- Procedural instruction
- List of particularly hazardous work with assignment to the employees in charge of the work
- Training certificates, if applicable entries in the safety pass

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.

3.5 Does the company carry out SGU instructions?⁸

* | ** | P

Objective

All employees have access to the SGU documentation and are instructed on the basis of this documentation about the SGU policy and the SGU regulations

Minimum requirements

- SGU briefing of newly recruited employees and leased temporary workers
- All employees are instructed regularly (at least once a year) and have access to the necessary documentation, e.g.
 - SGU policy
 - Hazard assessments
 - Operating instructions (e.g. machines, equipment, tools, hazardous substances, PPE)
 - Instruction on the use of PPE
 - Behaviour in an emergency
 - Behaviour after accidents

Documents

- List of necessary instructions with assignment to the employees concerned
- Written proof for initial, refresher and workplace-related training (place, time, person carrying out the training, participants with signature, contents, documents handed out)

Interview and observation

- Interviewing employees

⁸ The monthly short talks (so-called toolbox meetings) where employees are instructed in specific SGU topics are covered in question 4.1.

3.6 Is there a procedural instruction for filling in a personal safety logbook?^{9, 10}

* | ** | P

Objective

If a company decides to introduce a personal safety logbook, regulations must be put in place specifying who may make which entries and on what basis. As a result, employees can credibly demonstrate, through their personal safety logbook, that they are formally qualified, and their health is appropriate for the work to be performed

Minimum requirements

- Established documented procedure for proper entries in the safety pass
- The safety pass shall contain at least the following information:
 - Personal data (name, date of birth, home address, photograph, signature)
 - Name and address of the employer
 - Occupational health screening and/or aptitude tests
- Training courses/instructions/training sessions with executing agency and date
- There must be corresponding proof for each entry
- Definition of the responsible persons who are permitted to make the entries in the personal safety pass (e.g. the managing director is allowed to enter courses if the corresponding proof is available in the company)
- Current list of safety passes issued (name/if applicable, number)
- Employees carry their personal safety pass with them

Documents

- Procedural instruction
- Current list of safety passes issued (name/if applicable, number)
- Safety passes with entries

Interview and observation

- Interviewing employees

⁹ A personal safety pass is understood to be a suitable means of proof that shows personal qualifications and health aptitudes in a condensed form at a glance.

¹⁰ If the company does not keep any personal safety logbooks, the question is considered to have been answered positively.

3.7 Is communication with employees who speak foreign languages ensured?

* | ** | P

Objective

It must be possible to communicate with all employees in a language they can understand. Employees who have insufficient command of the German language must be informed about SGU requirements in a language they can understand

Minimum requirements

- Identify the languages used in the company
- Determining that and how communication is ensured. e.g. in every foreign-language working group there is always an employee present who can translate

Documents

- List of languages used in the company
- SGU documents in the language of the employees, if required

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.

3.8 Have the employees been instructed in the client's specific SGU requirements?

* | ** | P

Objective

The company has ensured that employees are informed about the specific SGU requirements of a client in good time before starting work

Minimum requirements

- Established documented procedure for the systematic planning and implementation of instructions for employees working on site, if the client has special requirements for certain work
- Instruction of the employees

Documents

- Procedural instruction
- Examples of use, e.g. in function descriptions of senior management
- Proof of instruction

Interview and observation

- Interviewing employees

3.9 Does the company have the necessary operating instructions and have the employees been instructed accordingly? ¹¹

* | ** | P

Objective

All essential SGU aspects identified in the operational risk assessment are covered by operating instructions and known to the employees

Minimum requirements

- Preparation and regular updating of SGU operating instructions, insofar as this has resulted from the risk assessments.
- The employees have access to the operating instructions (also on construction sites), are instructed on this basis and behave accordingly.

Documents

- SGU operating instructions at the workplace

Interview and observation

- Observation at the workplace on the construction site, during assembly work, etc.
- Interviewing employees

¹¹ If the risk assessments have shown that no operating instructions are necessary, the question is considered to have been answered positively.

Chapter 4 SGU awareness

To increase SGU awareness and improve SGU behaviour.

4.1 Are SGU meetings held in the company?

* / | ** | P

Objective

Promoting motivation and awareness for SGU in the company

Minimum requirements

- Meetings of the OSH (occupational health and safety committee) in accordance with statutory regulations ¹²
- SGU topics are on the agenda at meetings at all organisational levels
- The conduct of monthly (annually for administrative staff) SGU short meetings (toolbox meeting), where e.g. the following topics are discussed:
 - Personal protective equipment
 - Accidents and near misses
 - Alarm and security plan
 - Handling tools, devices and machines
 - Activities with hazardous substances
 - Driving into containers and working in confined spaces
 - Order and cleanliness

Documents

- Minutes of the OSH meetings of the past 12 months
- Minutes of the meetings of the organisational levels of the past 12 months at which SGU was on the agenda
- Topics and lists of participants of the SGU short talks of the past 12 months

Interview and observation

- Interviewing upper management and the OSS
- Interviewing employees
- If necessary, observation at the workplace on the construction site, during assembly work, etc.

¹² In companies with up to 20 employees, this minimum requirement is considered to be answered positively.



4.2 Has the company implemented a programme to increase SGU awareness and improve SGU behaviour?

* / | ** | P

Objective

Special attention to specific SGU topics and accident hazards

Minimum requirements

- Implementation of targeted special campaigns
- Participation of upper management in the events
- Evaluation of the success of these events

Documents

- Compilation of the special promotions of the last 12 months (e.g. descriptions, target groups, participants, evaluation)
- Evaluations of the events

Interview and observation

- Interviewing employees

Chapter 5 SGU project plan

The SGU project plan refers to the respective construction site or project. It contains project-specific and project-independent specifications for SGU coordination.

5.1 Does the company use SGU project plans?

* / | ** | P

Objective

Fulfilment of project-related SGU requirements and agreements

Minimum requirements

- Criteria for which projects require a SGU project plan
- Contents of SGU project plans, including:
 - Risk assessment
 - SGU organisation
 - Organisation of the safety inspections
 - Reporting of incidents (e.g. accidents, near misses)
 - Signature of the responsible persons
- If applicable, determination of a person who coordinates the work (SGU coordination, see also BGV A1 (employers' liability insurance association provision), BGR A1 (employers' liability insurance association regulation) and BaustellIV (Construction Site Ordinance))

Documents

- Guidelines for projects requiring SGU project plans
- SGU project plans
- If necessary, appointment of a SGU coordinator

Interview and observation

- Interviewing senior management

5.2 Are employees briefed on the contents of the SGU project plan?

* / | ** | P

Objective

The employees know the project-specific SGU hazards and are informed about the corresponding safety measures

Minimum requirements

- All affected employees receive documented instruction on the content of the SGU requirements of the project before work begins

Documents

- Distribution list of the instructions with signature

Interview and observation

- Interviewing employees

5.3 Are employees of subcontractors instructed in the contents of the SGU project plan? ¹³

* / | ** | P

Objective

Subcontractor employees know the project-specific SGU hazards and are informed about the corresponding safety measures

Minimum requirements

- The managers of the subcontractors receive all necessary information to instruct their employees according to question 5.2
- All affected employees of the subcontractors receive documented instruction on the content of the SGU requirements of the project prior to the start of the work

Documents

- Distribution list of the subcontractor's instructions with signature

Interview and observation

- Interviewing employees of the subcontractors

¹³ If no subcontractors are used or if the subcontractors are specified to the contractor by the main client, the question is considered to have been answered positively.

5.4 Is the SGU project plan agreed with the client?

* / | ** | P

Objective

Agreement with the client prior to commencement of the work with regard to the relevant SGU requirements of the project and the necessary occupational health and safety measures

Minimum requirements

- Coordination of the SGU project plan with the client
- Meetings with the client to review the SGU project plan and possible follow-up measures

Documents

- Meeting minutes

Interview and observation

- Interviewing senior management

5.5 Is there an (occupational) health and safety contact person assigned per project?

* / | ** | P

Objective

Coordination of the (occupational) safety and health aspects during the execution of the project in cooperation with the client, if necessary with a safety and health coordinator

Minimum requirements

- Function description (tasks, responsibilities, powers)
- Proof of the required expertise
- Activity on site

Documents

- Organisation chart
- Order (name, function)
- Inspection records

Interview and observation

- Interviewing the responsible person

Chapter 6 Environmental protection

Prevention of environmental damage

6.1 Are sufficient measures taken for the protection of the environment with a focus on the avoidance of environmental hazards as well as waste prevention and disposal?

* | ** | P

Objective

The avoidance of environmental damage and the environmentally sound and occupationally safe handling of waste

Minimum requirements

- Established procedure for the prevention of waste and for the handling of waste (separation, disposal, responsibilities, etc.)
- Knowledge of the potential environmental hazards
- Definition of the necessary precautionary measures
- If necessary, coordination with the client/waste producer
- If necessary, appointment of a waste management officer

Documents

- Established procedure for waste prevention and handling (e.g. in operating instructions)
- List of potential environmental hazards (e.g. polluting substances, hazardous substances)
- If applicable, waste register, waste disposal records, list of authorised waste disposal companies
- If applicable, waste management officer appointment letter
- If applicable, proof of instruction of the employees

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.

6.2 Is an environmental protection officer employed in the company? ^{14, 15}

* / | ** | P

Objective

Coordination of operational measures to avoid or control potential environmental hazards in the company

Minimum requirements

- Function description (tasks, responsibilities, powers)
- The environmental protection officers are directly assigned to the plant management; the assignment is shown in the organisation chart. The environmental protection officers are known to the employees
- Proof of the required expertise

Documents

- Organisation chart
- Order (name, function)
- Proof of further and advanced training for the required functions (e.g. water protection officer, waste officer, immission control officer)

Interview and observation

- Interviewing the environmental protection officers

¹⁴ An environmental protection officer is understood to mean: All environmental protection officers (e.g. dangerous goods officer, water protection officer, waste officer, immission control officer).

¹⁵ If there is no legal requirement to appoint a company representative for environmental protection, a voluntary commitment by the company to appoint a person to coordinate the environmental protection aspects in the company must be submitted to fulfil the supplementary question.

Chapter 7 Preparation for emergency situations

Ensure an organised and effective response to emergencies.

7.1 Is the company prepared for emergencies?

* | ** | P

Objective

The effective response to emergencies. Availability of sufficient and appropriate resources to deal with an emergency situation

Minimum requirements

- Creation of an alarm and hazard prevention plan for emergencies in the company
- Preparation of an alarm and hazard prevention plan for emergencies on construction sites, which may have to be coordinated with the client
- Identification and provision of the required first aid equipment, fire extinguishers and rescue equipment in sufficient numbers in the company and per project, if necessary in coordination with the client
- Management, inspection and labelling of first aid supplies, fire extinguishers and rescue equipment
- The knowledge of the employees about behaviour in case of emergency
- Conducting and evaluating emergency exercises and deriving measures

Documents

- Notice board with emergency numbers and proof of instruction
- Alarm and hazard prevention plans
- Escape and rescue plans
- List of available first aid and rescue equipment as well as fire extinguishers incl. current test certificates
- Proof of emergency drills and evaluations incl. derivation of measures

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc.
- Checking the first aid and rescue equipment as well as the fire extinguishers (labelling, contents)

7.2 Have the employees who have been assigned tasks in case of emergencies within the company received appropriate training?

* / | ** | P

Objective

Qualification of a sufficient number of employees in first aid, fire protection, etc.

Minimum requirements

- Determination of the required qualifications and definition of the required number of employees (e.g. first aiders and employees instructed in fire protection)
- Training of employees in the use of fire extinguishers
- Education/training of an appropriate number of employees

Documents

- Results of the determination of the required personnel
- List of the personnel concerned
- Training certificates

Interview and observation

- Interviewing employees

Chapter 8 SGU inspections

In order to maintain a high level of SGU on construction sites/workplaces, it is of great importance that they are regularly inspected by the responsible senior management.

8.1 Are inspections of construction sites or workplaces carried out regularly by the responsible senior management? ^{16, 17, 18, 19}

* | ** | P

Objective

Achieving and/or maintaining a safe and healthy working environment

Minimum requirements

- Established documented procedure on:
 - Frequency of inspections (at least monthly)
 - Checklist with main topics, including
 - Hazard awareness of employees and dangerous work
 - Activities involving hazardous substances and environmentally harmful substances
 - Compliance with occupational health and safety requirements (e.g. operating instructions, use of PPE)
 - Condition of tools, machines, equipment and site facilities
 - Condition of first aid boxes, fire extinguishers etc.
 - Order and cleanliness
 - Effectiveness monitoring and possible introduction of corrective measures
- Carrying out and recording inspections by the responsible senior management at least once a month

¹⁶ According to footnote 6 of question 3.3, forepersons are counted as senior operations managers. Thus, forepersons must carry out inspections on a monthly basis in accordance with question 8.1. The inspections shall be documented.

¹⁷ Joint inspections, e.g. by the site managers and forepersons, are possible. The inspections shall be documented and countersigned by the participants. Corresponding proof will be evaluated for all listed participants as part of question 8.1.

¹⁸ Joint inspections by upper and middle management and the responsible senior management (cf. Question 1.5) are possible (e.g. company management, site managers and foreperson). The inspections shall be documented and countersigned by the participants. Corresponding proof will be evaluated for all listed participants as part of question 8.1.

¹⁹ It depends on the company's internal regulations how and with what effort the monthly inspections are planned and carried out in order to inspect as many employees and different trades as possible.



- Definition of follow-up measures

Documents

- Procedural instruction
- Inspection protocols with list of deficiencies by responsible managers (at least once a month)
- Proof of follow-up (who, what, by when)

Interview and observation

- Interviewing employees
- If necessary, observation at the workplace on the construction site, during assembly work, etc.

8.2 Are the inspection records evaluated?

* / | ** □ | P

Objective

It is necessary not only to correct deficiencies found during inspections, but also to regularly analyse them for common causes and trends. Systematic weaknesses can be identified and eliminated in this way

Minimum requirements

- Classification of defects according to category, type and possible causes
- Annual trend analysis, including measures to be taken and their follow-up

Documents

- Documentation of the evaluations
- Trend analysis

Interview and observation

- Interviewing senior management

Chapter 9 Company medical care

Protection of employees' health at work and medically responsible use.

9.1 On the basis of the risk assessment, has it been determined for which activities regular occupational health care and/or examinations are necessary? ^{20, 21}

* | ** | P

Objective

Create the prerequisite that the health of employees is protected and that employees only perform activities for which they are suitable in terms of health

Minimum requirements

- Mandatory and available preventive care according to ArbMedVV are determined based on occupational (see 2.1) and workplace-related activities (see 2.2)
- The performance of occupational health screening and/or, if applicable, further occupational health examinations by qualified occupational doctors (regional title "occupational medicine" or additional title "industrial medicine") is contractually ensured. Occupational health aptitude tests and occupational health screening by qualified occupational doctors is contractually ensured

²⁰ Mandatory preventive health care is occupational health care that the employer must arrange for certain particularly hazardous activities. The employer may only allow such an activity to be carried out if mandatory preventive care has been carried out beforehand. This results in employees being de facto obliged to attend the screening appointment. Only doctors who are specialists in occupational medicine or who hold the additional title of "occupational medicine" may be commissioned to carry out preventive medical care. Even in the case of mandatory preventive care, physical or clinical examinations may not be carried out against the will of the employee(s). Some examinations may only be performed by specially authorised physicians, e.g. those according to the X-ray and Radiation Protection Ordinance. The relevant regulations include the ArbMedVV (Ordinance on Occupational Medical Precautions), the Gefahrstoffverordnung (Ordinance on Hazardous Substances), the Biostoffverordnung (Ordinance on Biological Substances) and the Röntgen- und Strahlenschutzverordnung.

²¹ Under certain conditions, the entrepreneur can choose an alternative needs-oriented occupational medical and safety care according to DGUV Regulation 2. After completing prescribed further training, the entrepreneur is deemed to be qualified to decide on the necessity and extent of demand-based supervision by occupational physicians on the basis of the risk assessment. Nevertheless, the minimum requirements and the documents to be proven according to 9.1 must be fulfilled or proven by the entrepreneur even if the alternative care model is chosen.

Documents

- Overview of the required occupational health screening and/or, if applicable, further occupational health examinations per activity
- Conclusion and content of a contract for the performance of occupational health screening and/or, if applicable, further occupational health examinations
 - Proof of occupational health qualification (medical association certificate)
 - The doctor must be entitled to use the regional title "occupational medicine" or the additional title "industrial medicine".

Interview and observation

- Interviewing the company doctor
- Interviewing employees

9.2 Is occupational health screening and/or examinations offered and carried out for employees?

* | ** | P

Objective

Use of employees who are fit in terms of health to carry out their work

Minimum requirements

- Employees complete the necessary compulsory preventive occupational health care and/or further preventive occupational health care/examinations by qualified occupational doctors if the need is identified (see question 9.1)
- Keeping the preventive medical checklist with a list of the employees involved as well as specifications on preventive occupational health care

Documents

- Project-related list of employees with the necessary compulsory occupational health care and/or, if applicable, further occupational health examinations
- Keeping the preventive medical checklist according to ArbMedVV with a list of the employees involved as well as specifications on preventive occupational health care

Interview and observation

- Interviewing the company doctor
- Interviewing employees

9.3 Does the company offer employees the opportunity to attend an occupational health check-up on a voluntary basis, regardless of the hazards to which they are exposed?

* / | ** | P

Objective

Employees should have the option of consulting an occupational health professional regardless of the hazards identified

Minimum requirements

- Specification of the possibility to consult an occupational doctor
- Informing employees about this possibility

Documents

- Contractual agreement with a qualified occupational doctor ensuring that employees have the opportunity to receive occupational health examinations and advice on a voluntary basis
- Notice and/or proof of the provision of the information

Interview and observation

- Interviewing the company doctor
- Interviewing employees

9.4 Are employees with health restrictions given the opportunity to continue working in a suitable job? ²²,

* / | ** | P

Objective

Every company should strive to reintegrate employees with health restrictions into the work process as quickly as possible

Minimum requirements

- Established procedure in compliance with legal requirements, known to the employees

Documents

- Application examples

Interview and observation

- Interviewing the company doctor
- Interviewing employees

²² Reference is made to the legal requirement to introduce company integration management in accordance with SGB IX § 84 (German Social Code). According to this, companies are obliged to help employees who are continuously or repeatedly incapacitated for work for more than 6 weeks within one year to overcome the incapacity for work and to prevent renewed incapacity for work.

Chapter 10 Procurement and testing of machines, devices, equipment and working materials

The exclusive use of machines, devices, equipment and working materials that meet the relevant occupational and environmental protection requirements.

10.1 Does the company only procure machines, devices, equipment and working materials that meet the requirements of occupational safety and environmental protection? ²³

* | ** | P

Objective

Complete SGU specifications for procurement must be in place to ensure that safe and environmentally sound machinery, tools, equipment and working materials are procured. These must be in accordance with applicable occupational safety and environmental protection regulations

Minimum requirements

- Established documented procedure that ensures,
 - that only machines, devices, equipment and working materials are procured that meet the requirements of occupational safety and environmental protection.
 - that accompanying documents relevant to occupational health and safety and environmental protection are supplied (e.g. product information sheets, safety data sheets, operating instructions).
- Identify and list the machines, devices, equipment and working materials for which special occupational safety and environmental protection requirements are specified (e.g. industrial trucks, high-pressure liquid jets, personal protective equipment, hazardous substances).
- Draw up specifications for machines, devices, equipment and working materials and keep them up to date (e.g. regular comparison with new or changed legal requirements).
- Involvement of OSS and company doctor

²³ Hazardous substances must be assessed for their hazardous properties towards humans and the environment before they are used. Practice-based and company-related operating instructions must be developed for all procured hazardous substances and environmentally hazardous substances (see question 3.9).



Documents

- Procedural instruction
- Examples of use (e.g. work instructions, checklists for purchasing)
- Specifications of the machines, devices, equipment and working materials
- Product information sheets, safety data sheets, operating/ instruction manuals
- Examples of orders

Interview and observation

- Interviewing the persons responsible for procurement as well as the OSS and the company doctor,
- if necessary Observation at the workplace on the construction site, during assembly work, etc.

10.2 Are machines, devices and equipment regularly inspected? ²⁴,

25

* | ** | P

Objective

Maintaining the proper condition of machines, devices and equipment

Minimum requirements

- Inspection system for recording and tracking inspection intervals (overview of relevant machinery, devices and equipment / inspection intervals (acc. to BetrSichV – German Industrial Safety Regulations) / inspection criteria)
- Appointment of a competent person
- Test documentation
- Marking on the tested object (test due date)
- Exclude further use of non-approved machines, devices and equipment

Documents

- List of machines, devices and equipment with inspection intervals
- Test documentation
- Test marking (e.g. badges, stickers)

Interview and observation

- Interviewing the persons responsible for the audits
- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc., paying particular attention to labelling, condition and storage of machines, tools, equipment and working materials

²⁴ Examples of equipment that should be inspected at least annually. The exact definition of the inspection intervals must be derived from the hazard analysis and the evaluation of previous inspections: lifting equipment, e.g. pulleys, slings, chains, rope slings, etc., ladders and mobile scaffolds, passenger and material lifts, fire extinguishing equipment, lifting and transport equipment, electrical equipment, welding transformers and transformers, specific PPE

²⁵ The user of machines, devices and equipment must be able to easily determine whether they have been tested in a valid way (e.g. by means of a label, colour coding or tag).

Chapter 11 Procurement of services

If subcontractors and/or personnel service providers are used, it must be ensured that they have a functioning SGU organisation.

11.1 Are only subcontractors used who can demonstrate they have a functioning SGU organisation? ^{26, 27, 28}

* / | ** | P

Objective

Ensure that subcontractors meet all relevant SCC requirements

Minimum requirements

- Subcontractors meet the relevant minimum requirements as listed in document 010. Proof can be provided by
 - Presentation of a currently valid SCC certificate with SCC logo

Or

- Submission of the completed checklist 10.1 of document 010 with appropriate supporting documents

Documents

- Certificates/proof

Interview and observation

- Interviewing employees of the subcontractors
- Observation at the workplace on the construction site, during assembly work, etc.

²⁶ Definitions:

- One-man subcontractors, are not assessed according to document 010; instead, they are included in the calculation of accident frequency rates according to question 12.6 and document 006, respectively.
- Subcontractors (≥ 2 employees) indirectly provide physical and material services for the main client. All subcontractors covered by this definition and used in the scope named on the contractor's SCC certificate must meet the minimum requirements of question 11.1.
- The definition of "subcontractor" includes sub-subcontractors and lower tiers. The contractor to be certified is responsible for the assessment.

²⁷ Companies with up to 35 employees that use subcontractors for technical services under a contract for work and services require the SCC** or SCC^P.

²⁸ If no subcontractors are used or if the subcontractors are specified to the contractor by the main client, the question is considered to have been answered positively.

11.2 Are subcontractors systematically assessed and contracted taking into account their SGU performance?²⁹

* / | ** | P

Objective

Commissioning of suitable subcontractors from a SGU perspective

Minimum requirements

- Established procedure for evaluating the SGU performance of the subcontractors used, taking into consideration
 - the pre-selection (currently valid SCC certificate with SCC logo or completed checklist 10.1 of document 010 with corresponding proof)
 - of observations and examinations at work
- Lists of subcontractors with ratings

Documents

- List of subcontractors
- Evaluation protocols

Interview and observation

- Interviewing the persons responsible for the evaluation of the subcontractors
- Interviewing employees of the subcontractors
- Observation at the workplace on the construction site, during assembly work, etc.

²⁹ If no subcontractors are used or if the subcontractors are specified to the contractor by the main client, the question is considered to have been answered positively.

11.3 Are only personnel service providers used who can prove that they have a functioning SGU organisation? ^{30, 31}

* / | ** | P

Objective

Ensure that all personnel service providers meet all relevant SCC requirements

Minimum requirements

- Personnel service providers meet the relevant minimum requirements as listed in document 010. Proof can be provided by
 - Presentation of a currently valid SCP certificate with SCC logo

Or

- Submission of the completed checklist 10.2 of document 010 with appropriate supporting documents

Documents

- Certificates/proof

Interview and observation

- Interviewing employees of personnel service providers
- Observation at the workplace on the construction site, during assembly work, etc.

³⁰ If no personnel service providers are used or if the personnel service providers are specified to the contractor by the main client, the question is considered to have been answered positively.

³¹ All personnel service providers deployed in the scope named on the contractor's SCC certificate must meet the minimum requirements of question 11.3.

Chapter 12 Reporting, registration and investigation of accidents, near misses and unsafe situations

Independent of the legal obligation to report as well as independent of the client's specifications, the recording and evaluation of accidents serves to determine preventive measures to avoid recurrences.

12.1 Does the company regulate the reporting and recording of accidents with and without absence from work?

* | ** | P

Objective

Complete recording of accidents and publication of accident statistics

Minimum requirements

- Established documented procedure for reporting and recording accidents with and without lost work time, taking into account client requirements where applicable (incl. forms)
- Reporting and registration of accidents with and without loss of working hours
- Publication of accident statistics at least annually that at least meet the requirements of document 006

Documents

- Procedural instruction
- Examples of accident reports
- Accident statistics

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc. (e.g. inspection of first-aid books, posting of accident statistics)

12.2 Does the company regulate the investigation of all accidents with and without loss of working hours?

* | ** | P

Objective

Learning from accidents

Minimum requirements

- Established documented procedure for investigating accidents with and without loss of working hours, taking into account client requirements if applicable (incl. responsibilities, investigation method, forms and potential assessment "What could have happened in the worst case?")
- Investigation of accidents with and without loss of working hours
- Definition of corrective and preventive measures also with regard to a possible update of the risk assessment (see questions 2.1 and 2.2)
- Deadline monitoring of the implementation of the measures and effectiveness control

Documents

- Procedural instruction
- Accident investigation reports incl. derivation of measures
- Evidence of the announcement of the investigation results and measures

Interview and observation

- Interviewing upper and middle management
- Interviewing employees

12.3 Are accident investigation methods used that ensure the identification of all possible causes of accidents?

* / | ** | P

Objective

The investigation of accidents with and without absence from work, of near misses and unsafe situations must systematically record and analyse all possible causes of accidents

Minimum requirements

- Established documented accident investigation procedure that ensures the recording and analysis of all possible causes of accidents (e.g. cause-effect diagram according to Ishikawa, 5W-1H method according to Kipling)

Documents

- Procedural instruction
- Examples of accident investigations

Interview and observation

- Interviewing the OSS and the company doctor

12.4 Is the reporting and recording of near misses and unsafe situations regulated in the company?

* / | ** | P

Objective

Investigation of near misses and unsafe situations enables early preventive measures to avoid accidents

Minimum requirements

- Established documented procedure for reporting and recording near misses and unsafe situations, taking into account client requirements where applicable (incl. forms)
- Reporting and registration of near misses and unsafe situations

Documents

- Procedural instruction
- Examples of reports of near misses and unsafe situations

Interview and observation

- Interviewing employees
- Observation at the workplace on the construction site, during assembly work, etc. (e.g. inspection of first-aid books)

12.5 Is the investigation of near misses and unsafe situations regulated in the company?

* / | ** | P

Objective

Learning from near misses and unsafe situations

Minimum requirements

- Established documented procedure for investigating near misses and unsafe situations, taking into account client requirements where applicable (incl. responsibilities, investigation method, forms and potential assessment "What could have happened in the worst case?")
- Investigation of near misses and unsafe situations
- Definition of corrective and preventive measures also with regard to a possible update of the risk assessment (see question 2.1 and 2.2)
- Deadline monitoring of the implementation of the measures and effectiveness control

Documents

- Procedural instruction
- Investigation reports incl. derivation of measures
- Evidence of the announcement of the investigation results and measures

Interview and observation

- Interviewing upper and middle management
- Interviewing employees

12.6 Does the company keep accident statistics and are the determined accident frequencies below the defined SCC thresholds?

* | ** | P

Objective

Only companies with an accident frequency below the SCC thresholds defined in document 006 can be SCC certified

Minimum requirements

- Established procedure for determining and updating accident statistics in accordance with document 006
- Accident statistics for the last three calendar years with management signature³²
- Compliance or not achieving the SCC thresholds according to document 006

Documents

- Accident statistics for the last 3 calendar years with management signature

Interview and observation

- Interviewing upper management

³² If the accident statistics are only inspected on site, the auditors must document the data from the statistics in their records and confirm this with their signature. Also, the data shall be verified by the auditor with data from previous audits.