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## Local Code of Practice

### Contractors on Educational Establishments

#### Section 09

(Version 2.01 – October 2017)

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#### **STATEMENT:**

In order to comply with legislation and fulfil statutory responsibility, the responsible person, the Council or school must make sure that:

- All contractors, service providers, suppliers (vendors) engaged to do work at schools are competent to carry out work safely, in compliance with health and safety legislation and London Borough of Barnet (LBB) H&S policy procedures;
- Sufficient resources and time are made available to fulfil the contract requirements.

#### **SCOPE:**

This Local Code of Practice (LCoP) applies to:

- All Managers including Head Teachers in LBB maintained schools responsible for engaging contractors and service providers;
- Partner organisations engaging contractors and service providers on behalf of the council;
- All employees of London Borough of Barnet;
- All contractors and service providers working on behalf of the council.

## Issue Control

This Local Code of Practice is issued and managed by the Safety, Health and Wellbeing team.

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## 1. Introduction

This local code of practice (LCoP) has been written to guide the responsible person at schools such as head teachers or other delegated school officer in the process of considering, appointing and monitoring of contractors who are selected to do work at their schools. Where works have been commissioned by the London Borough of Barnet (LBB) then the council is the responsible person.

Where contractors are utilised to do work, their appointment is initiated by following procedures to put the work out to tender described in Appendix 1 – Contractor Management Toolkit of LBB health and safety arrangements for management of contractors (Section 6). Some examples of work range from small scale repair work, door fitting, glazing, photocopier repair to construction and redecoration. Key functions such as school catering, cleaning and swimming pool maintenance or landscape management may also be contracted out. Effective collaboration between schools and contractors is essential. The nature of the school environment and the vulnerability of children emphasizes the need for proper organization and control.

This local code of practice provides guidance where contractors are used. The aim is to draw attention to minimum compliance requirements of legislation in order to protect the health and safety of staff, pupils, contractors and anyone else who may be affected when contractors are employed in schools to undertake work.

Additionally, this LCoP identifies the 3 key stages in the H&S management in the commissioning and procurement process which is defined in Part C of the contractor management toolkit in Appendix 1 which are:

1. **SPECIFY** a safe contract, which facilitates monitoring and reporting and has scope for modifications;
2. **SELECT** a suitable contractor/service provider who can deliver a safe and healthy contract – based on their history, management systems, competence, etc.;
3. **MONITOR** and review health and safety performance throughout the contract, with ability to take corrective and punitive action if necessary.

The underlying principle is a systematic and structured approach but one which allows for consideration of project size and complexity to for local decision makers to apply the basis of the toolkit as needed.

## 2 Definitions

For the purposes of this Section and the requirements made within it the following definitions apply:

<i>CHAS:</i>	This is Contractor Health and Safety Assessment Scheme which is a registered member of the Safety Schemes In Procurement (SSIP) Forum and a health and safety compliance assessment scheme.
<i>Children's Service Premises:</i>	Any property, building, house, highway or land, owned or occupied, by the Children's Service or forming part of their undertaking. This would include any premises, for which the Children's Service has by virtue of a lease or tenancy agreement a duty to carry out maintenance.
<i>Contractor:</i>	A person, consultant, agent, company or corporate body who is bound by legal contract with the contract commissioner, council or school, to undertake work or to provide a service.
<i>Control measures:</i>	Are the procedures that are put in place after a risk assessment to avoid risks or reduce them to an acceptable level.
<i>Hazard:</i>	Something with the potential to cause harm.
<i>Method statement:</i>	This is a document prepared to take into account residual risk after a risk assessment has been conducted in a task and provides a step by step approach to completing the task safely including any personal protective equipment (PPE) and equipment which should be used.
<i>Permit to Work:</i>	A safe system for which an approved person i.e. school head-teacher, school site manager or other type of approved responsible person utilises to authorise any person including contractor or other person to carryout hazardous works such as hot works, working at height, confined space work to prevent any major incidents and assumes responsibility that checks have been made in relation to health and safety matters.
<i>Pre-Qualification Questionnaire:</i>	Abbreviated PQQs, enables the council or if directly commissioned by a school to assess a contractor / supplier/service provider's health & safety standards and competencies to determine whether they comply with the minimum criteria specified for a given contract.
<i>Principal Contractor (PC):</i>	On its website the HSE states that the principal contractor is appointed by the client to control the construction phase of any project involving more than one contractor. They are required to plan, manage, monitor and coordinate the entire construction phase

and take account of the health and safety risks to everyone affected by the project in planning and managing the measures needed to control them.

*Principal Designer (PD):*

On the HSE website, the principal designer is described as a designer who is an organisation or individual appointed by the client to take control of the pre-construction phase of any project involving more than one contractor. Further, they state the PD must plan, manage and coordinate health and safety in the pre-construction phase including taking account of the health and safety file which may affect design work pre-construction and after the construction phase of a project has started; Work with other designers to eliminate foreseeable H&S risks to anyone affected by the work or work to reduce or control the risks; Ensure communication and cooperation amongst everyone involved in the pre-construction phase of a project and where required coordinate their work; Liaise with the principal contractor, keeping them informed of any health and safety risks that need to be controlled in the construction phase.

*Risk:*

The chance, high, medium or low, that somebody could be harmed by a hazard, together with an indication of how serious the harm could be.

*Risk assessment:*

A Systematic examination of work activities and premises. The risk assessment will identify the hazards, evaluate the risks involved taking into account any precautions in place, and facilitate an action plan.

*Safe Contractors List:*

This is the list of contractors and service providers which have been determined to operate their health and safety management in compliance to determined minimum legal and best practice standards. The list is controlled by the corporate procurement team of LBB.

*SSIP Forum:*

This is the Safety Schemes In Procurement Forum and an umbrella body for health and safety assessment schemes of registered members. These member schemes review the health and safety standards of contractors to the SSIP core criteria for competency which includes minimum health and safety legislative requirements. They issue accreditation status if a contractor achieves their compliance standards.

*Supplier:*

Anyone or organisation who supplies services or goods to the Council for a fee but is not a Council employee. The term vendor may also be used.

*Suitable and Sufficient:*

Suitable means level and complexity, for a complex project one would require more in-depth monitoring, checks, more frequent inspections etc. of the task, project, job, organisation, contractor / supplier /

service provider. Sufficient, identifies as many of the known hazards and risks as possible. Have appropriate measures, checks, inspections been identified and controls implemented.

### 3 Relevant Legislation

Considering that either the local authority or schools may commission works and therefore hold client responsibilities, the Health and Safety at Work etc. Act 1974 (HSAW Act) places a general duty of care on the Local Authority (LA) in this case London Borough of Barnet, and similarly schools, as employers and controller of premises to ensure the health and safety of their employees, and other persons who may be affected by the LA's or schools undertaking or are using their premises. When contractors are included in this duty, the following apply:

- a. Contractors' activities can form part of the LA's and schools core activities and as such appropriate measures are to be taken to protect their employees and any other persons who may be affected from the risks arising from those activities.
- b. The contractor and their employees have the status of "other persons" on the employers' premises or sites, in regard to the normal activity conducted on those premises. Thus, appropriate measures are to be taken to protect the contractor and their employees from the risks that are associated with the premises or sites and the activities undertaken there.
- c. The Management of Health and Safety at Work Regulations 1999 (MHSW) places additional duties on the employer (LA or schools) to ensure that competent contractors are employed. It also places a duty on the employer to supply contractors with information about known hazards on their sites to enable them to carry out risk assessments.
- d. The Construction (Design and Management) Regulations (CDM) 2015 places additional duties on the LA and schools as clients with regards to work that falls within the scope of those Regulations. This would include:
  - i) Ensuring allocation of sufficient time and other resources for the whole project without risk to the health and safety of anyone affected by the project;
  - ii) Appointment of a principal designer and a principal contractor and ensure their compliance with their specified duties;

The roles of the persons named in item (b) above are detailed in the CDM Regulations 2015. The client is to ensure that appropriate systems are introduced to ensure full compliance with these Regulations where they apply to them. This would include ensuring that the roles and responsibilities are outlined in their directorate health, safety and welfare policy and also that arrangements are in place to ensure the appointment of competent persons.

### 4 Quick Guide to the Control of Contractors

Step	Action	Guidance
1	Concept, defining and planning	Clearly identify all aspects of the work required from contractor, include work within preparation and completion phases, ongoing maintenance should also be considered. Identify performance measures of service and define performance indicators to align with organisations standards.



2	Identify the level of risk.	The level of risk will depend on the nature of the job. Define these risk areas and seek to eliminate or reduce to minimum, additionally ensure the eventual contractor is made aware of the risk so adequate plans can be made to control the risk. Whatever the risk, health and safety implications must be considered.
3	Finding a suitable contractor.	Contact corporate procurement team for information on suitable suppliers depending on type of work and consider school's environment and needs. Also define contractor clauses and performance measures which aligns with overall performance expectations of the school/organisation. If contractors have to be employed outside of the safe contractor list or SSIP member requirements prescribed by LBB contract procedure then advice may be sought from LBB corporate procurement team.
4	Selecting a suitable contractor.	Clients need to satisfy themselves that contractors are competent (i.e. they have sufficient skills and knowledge) to do the job safely and without risks to health and safety. Apply CDM requirements for construction / maintenance activities or for high risk activities the contractor can also be on the Councils Safe Contractor list.
5	Assess the risks of the contract and decide on relevant H&S performance measures.	Pass any relevant risk assessment / method statements for the works to the contractor and review the contractor's risk assessments / method statements for the work to be undertaken. Set H&S performance measures based on the risks and prevention measures including frequency of measuring.
6	Ensure employees are properly informed, instructed, trained and supervised.	You should provide employees (and nonemployees where appropriate) with suitable and sufficient information, instruction and training, to work safely and without risk to health. Clearly define duties particularly for contract/project managers and close competency gaps.
7	Contractor performance and activity monitoring	Decide on how the contract is going to be monitored (i.e. weekly meetings, accident records, performance against time plan. Ensure points of contact are established at different levels and for the project duration.
8	Record & Report Incidents	Utilising the Contractor Incident Notification (CIN) System, record, review, respond and report on incidents of near-miss, dangerous occurrences and accidents caused by contractors and service providers. Also record complaints received of contractor performance by others and investigate.
9	Review the contract.	Review how the contractor has performed, how effective was the planning, record the lessons, review and link to re-selection procedures. Record your findings.

## 5 Responsibilities

Typically the client is the local authority that being LBB in the case of community schools if they commission the contract in which case health and safety arrangements may be maintained locally by the community school but with guidance still taken from this local code of practice for management of contractors on education establishments.

For construction works the client is bound by prescribed legal duties in the CDM regulations (last updated April 2015). For more information about this, refer to the HSE site on [Health and Safety in Construction](#).

**From the perspective of this LCoP, the following responsibilities are relevant:**

- The Client is any school head-teacher or other approved responsible person who is responsible for the setting up of a contract, service level agreement or other arrangement involving contracted services. They must ensure that they are realistic and adequate arrangements put in place to enable the effective management of contracts.
- They should seek to consult the LBB corporate procurement team where necessary on contract or service provision matters such as need to use non-SSIP assessed contractors for construction or maintenance work.
- Clients should clearly define all aspects of work they require contractors to undertake from preparation to completion, including consideration for continued maintenance.
- Clients have a duty to manage health and safety issues with regard to the selection and continued suitability of contractors. In some cases competency of contractors should be demonstrated by the review of their training records, risk assessment and, where necessary, method statements.
- Clients must ensure that contractors and their sub-contractors observe their responsibility for health and safety at operational level. This may be done by a contract/project manager by making arrangements for health and safety monitoring such as examination of health and safety records, audits, sample site visits, regular review meetings and examination of evidence of compliance such as survey results or service user complaints.
- Clients should at the conclusion of the contract make arrangements for determining the contractor's compliance to the councils' specifications and policies and where it applies the schools procedures, and the contractor's overall H&S performance should be determined.
- Contractors' good practices or failings should be considered and, where necessary, feedback information should be passed on to the corporate procurement team for consideration in future selection as a supplier.

### **5.1 Scope of Responsibility**

In activities involving the use of contractors two broad areas of health and safety responsibility exist. These are:

#### **5.1.1 Contractor in Sole Control.**

Where a premises or part premises is given over to the contractor, with control of access and adequate segregation of the contractual activity from the LA employees, the main

responsibility for health and safety within that premises or part premises rests with the contractor.

The LA / schools however still retains some responsibility as to the contractor's health and safety. In order to discharge those responsibilities directorates are to ensure that competent contractors are employed, that they are provided with information on known hazards and that monitoring, to ensure that they continue to work safely, is carried out.

### **5.1.2 LA Retain Control**

Where a contractor is engaged in occupied Children's Service premises or sites where the LA is the main employer, the LA retains the overall responsibility for health and safety at that site. This situation is potentially where the greatest risks lie and where there is a need for comprehensive measures to control risk. The contractor retains the duty in regard to health and safety matters directly related to the work, and to persons, including the LA's employees, who may be affected by that work. This latter duty, to other persons, is shared with the LA, whose responsibility extends to ensuring the overall measures taken, are reasonable and adequate in the circumstances to prevent risks to the health and safety of persons for whom, the LA have a duty of care. The LA must also ensure that monitoring, appropriate to the type of work being undertaken, of the contractor's work on site is carried out.

During works which fall within the scope of the CDM Regulations both of the above still apply but the appointed Principle Designer or Principal Contractor has overall control of the works being carried out and must ensure that any lower tier contractors or designers are competent and that suitable monitoring/oversight is carried out to ensure they work safely.

Where the activity involves working with asbestos the local procedures on Asbestos management plan will also apply and the responsibilities outlined within the procedures should be complied with.

## **5.2 Premises Controller**

A premises Controller is a school site manager appointed to carry out duties, listed in Part B of the Council's for Health, Safety and Welfare, within Children's Service premises, but excluding Children's Service owned premises that are leased.

The school head-teacher assumes the duty of Premises Controllers, they are responsible for making arrangements that are reasonable and practicable in the circumstances for the following:

- (a) Liaising with the contractor in order to segregate where possible the schools activities from the contractor.
- (b) Ensuring the contractor is aware of any risks associated with either the site activity or the site itself.
- (c) Providing access to on site risk assessments, the Asbestos Register and where applicable site file and site log book.
- (d) Maintaining a liaison with the LA officer supervising the contract, when applicable, and the contractor's representative.
- (e) Consultation with the Trade Union Appointed Health and Safety representative for the premises, on the proposed and subsequent activity.
- (f) Keeping employees and others who may be affected at the premises sufficiently informed

to ensure their health and safety.

- (g) Inform the contractor of any relevant emergency procedure at the premises.
- (h) Take appropriate action to protect the premises occupants and service users.

Legal duties cannot be delegated by contract. In keeping with all aspects of the work undertaken, managing Health & Safety requires collective effort and commitment of all parties involved.

### **5.3 Contract/Site Manager**

The person managing the contract is the site manager or responsible person from the site with responsibility to manage and monitor the ongoing performance of the contractor during the course of a contract/project.

The site manager or responsible person at the site must ensure that contractors are provided with all known information to address any risk to which the contractor's employees may be exposed during the course of their contracted work.

The site manager or responsible person at the site establishes contract monitoring aspects with contractor at the pre-contract phase. This includes the type of monitoring to be carried out for example proactive monitoring where intermediate targets including; desktop reviews; review meetings; inspections; audits takes place.

The site responsible person also ensure reactive monitoring takes place for example where incidence of near-miss and accidents have been caused by a contractor. These types of incidents must be recorded on the school's Contractor Incident Notification (CIN) system.

## **6 Liaison between LEA and Contractors Checklist**

### **6.1 Part A: Before preparing the contract documents.**

If the contract is to run efficiently and safely for the premises, staff and pupils full consideration needs to be given to health and safety factors before tendering takes place. This will enable those tendering to cost the LA's requirements for ensuring the health & safety of staff and pupils.

#### **Collection and Information:**

The following information should be agreed at an early stage in the preparation of contract documents with all parties, if the nature and scale of work makes this appropriate:

- Nature and parameters of work
- The areas within which the work can be contained
- The period within which the work will be undertaken
- Information relevant to the safety of the contractors own employees while undertaking the work.

In addition, the following information on the staff's, pupils and other site users' requirements should be obtained in writing from the head:

- Access/exit to premises from the street
- Access/exit to and within the buildings
- Playground facilities
- Service arrangements for premises (e.g. food and store deliveries)
- Emergency services and places/items of essential use including means of escape routes from the premises.
- Essential security measures which need to be adopted because of the implications of the work. Including identification of personnel who may need CRB (DB) clearance.
- The client should make all details known to the contractors before they tender, as individual items can have significant cost implications.

## **6.2 Part B: Health & safety agenda at the pre-site contract briefing meeting.**

Information from the Client to the contractors' liaison officer

- Confirm premises user's requirements.
- Provide information relevant to the safety of the contractors employees (e.g. fragile roofs, underground services, asbestos register, etc.).
- The working of the premises fire alarm system.
- Considerations specific to special educational needs pupils.
- Information from the contractor to client.
- Contractors access/exit requirements (specifically deliveries and movement of vehicles).
- Contractors access/exit requirements to buildings.
- Contractors' proposals on use of scaffolding.
- Contractors' proposals for separation of work from open access areas.
- Contractors' proposals for the location of skips and compound areas.
- Contractors' advice on dangerous substances or processes.
- Contractors' proposals for the provision of services (toilets, telephone, water, electricity and parking).

Agreements should be reached between contractors, client (school head/ site/project manager) on:

- Reporting of visitors to the site.
- The times when fencing and scaffolds will be erected and dismantled.
- Times and locations that mobile scaffolds will be used.
- Times of any hazardous works (including procedures for undertaking these activities).
- Agreement on how notification and communications should be achieved.
- Confirmation that safe working practices as agreed in their safety policy will be followed.
- All subcontractors comprehensively briefed on the contents of the guidance and safety procedures.

### **6.3 Part C: Site meetings as the work progresses Agenda items:**

A review of health and safety should take place during regular site meetings to discuss any problems that may have arisen since the last meeting. The health and safety implications of the work which is about to be undertaken should also be reviewed.

Where possible trade union safety representatives should be invited to attend.

## **7 Selecting the Contractor**

Assess in advance the competence of the contractor. Although the extent of the assessment will depend upon the nature of the work involved, the same principle applies whether the contract is simple and verbal or more substantial, e.g. the use of contractors for school cleaning. There is no magic formula for assessing competence.

For larger scale or more hazardous operations specialist advice may need to be sought.

Helpful indicators are:

- Inclusion in LA “approved safe contractor lists” (SSIP member CHAS approval for Health & Safety Status)
- Past performance.
- Work undertaken elsewhere (in other schools).
- Membership of trade bodies Accreditation by trade bodies e.g. Corgi registration.
- General health & safety for health & safety Commitment to recognized codes of practice.
- Examine Health & Safety policies and/or procedures and establish at the outset a joint Commitment to the health & safety of staff, pupils, contractors, sub-contractors, visitors and members of the public.

Where the Construction (Design and Management) Regulations 2015 applies, there are specific duties relating to the selection of competent persons and organizations.

## **8 Planning & Organising the Work.**

Establish clear parameters for everyone involved, including sub-contractors where appropriate. Take into account risk assessments carried out by the school as well as those produced by the contractors.

There may be a need for detailed method statements and permit to work systems for complicated or potentially hazardous procedures. Use of any potentially hazardous substances e.g. adhesives, cleaning fluids will require the careful examination of COSHH assessments.

Consultation and involvement of the Health & Safety Unit and trade union safety representatives should take place.

A basic system for ensuring that all health and safety information, relevant to the works, are kept and are easily accessible, is to be set up by the client’s officer arranging the contract (this does not apply to works that are under 5 days in duration).

Prior to finalising the specification for the job to be undertaken, there is to be consideration as to the areas of responsibility for health and safety. The aim of this is to eliminate or control the exposure to risks, arising from the contract activity, to persons for whom the client has a duty of care. There must be full liaison with all the parties involved to ensure that the job reflects the level of health and safety that is required.

Where practicable the contract is to be so arranged as to segregate the contractor's activity from the occupants of the premises.

Health & Safety arrangements should deal with the services which the contractor may require when on site and cover the plant/equipment they may bring with them.

Special areas of secure school based storage may need to be set aside. Toilets, staff room and first aid facilities for contractors should also be properly organised.

The nature of the work, the areas within which it is to be contained and the timing of its operation should be carefully planned. Pupil's requirements should be carefully considered in terms of access and egress, playground facilities and general service arrangements (e.g. food and store deliveries).

The school's evacuation and emergency procedures should be taken into account and contractors, sub-contractors etc. made fully aware.

In the case of school catering & cleaning contracts, contractors may use school based equipment it is important to ensure that such equipment is suitable for the job and properly maintained. Certain items of plant or equipment may be subject to specific statutory requirements.

General duties relating to the provision and maintenance of plant and equipment may be shared with or overlap the various parties involved, e.g. school, LA, contractor, sub-contractor, supplier etc. It is important to ensure that responsibilities are clearly allocated and understood.

### **8.1 Liaison with Premises Controller**

At the planning and subsequent stages until completion there is to be adequate arrangements made to allow for liaison between the client for the contract and the premises controller. At the initial stages, and subsequently if applicable the following aspects are to be considered:

- a. The nature of the contract activity and the potential risk to all of the premises occupants.
- b. The nature of the premises activity and the potential risk to the contractor's employees.
- c. Proposed method of segregating, where practicable, the two activities

physically, by timing or method of working.

- d. Arrangements for the use and storage of hazardous substances and equipment.

## **8.2 Contract Documentation**

All contract documents are to refer to the relevant requirements of the health and safety legislation and associated Approved Codes of Practice and Guidance. The following are to be included where applicable:

- (i) The right of entry/intervention of the client's contract/project/site managers and/or other authorized officers.
- (ii) The known hazards of the premises.
- (iii) The requirements for certificates of safety worthiness of plant being brought onto the premises.
- (iv) The sanctions applicable for unsafe practices.

## **9 Pre-Contract Stage**

Before any contract is issued the client's contract/project/site manager is to request a method statement from the contractor.

Where a pre-contract meeting is required, by local procedures or is considered necessary by the client's contract/project/site manager responsible for the contract, items on the agenda of that meeting are to reflect the health and safety requirements and aspects of the proposed work.

If necessary an officer of the Health and Safety Unit will attend to assist in this assessment (Note Children's Service local codes of practice) can make this mandatory - e.g. LCOP - Asbestos Management). The management and communication channels are to be established at the meeting. Minutes of the meeting shall be distributed to the relevant parties.

## **10 Pre-Start Stage**

Before any works begin the following must be undertaken:

- Details of all known hazards, where reasonably practicable, are to be forwarded to the contractor.
- The contractor is instructed to liaise with the premises controller where applicable.
- Where necessary, dependent on the nature of the work, a safety method statement is to be obtained from the contractor.



## **11 Contractor's Organisation for Safety**

### **11.1 Checklist of safe working practices:**

#### **a. Appointment of contractor's liaison officer.**

The contractor should nominate a senior member of the site staff to carry out the duties of the contractor's liaison officer. He/she should maintain day to day communication and work with the project/site manager or the head, (as the client's representative). The contractor should inform the client's representative of the liaison officer's name in writing.

The liaison officer's duties should be treated with priority. The liaison officer should inform the client's representative in writing of all communications between himself and the occupiers of the premises when requested and where necessary attend meetings.

The liaison officer should inform the client's representative of the timing and progress of work, and ensure that any facilities designated as essential, at the pre-site meeting are kept available for use.

The contractor's liaison officer may be responsible for more than one site if small contracts are involved, but the client's representative should always have access to the liaison officer.

The liaison officer should also be responsible for contact and co-ordination of Subcontractors. The liaison officer should ensure that subcontractors (such as scaffolders) are fully aware of requirements and while the liaison officer may not directly supervise the subcontractors work, the liaison officer is responsible for ensuring that the subcontractor's work meets these requirements.

#### **b. Provision of Site Supervision:**

The contractor should provide full and adequate site supervision during the progress of work and keep a competent and authorised agent or general foremen available at all times. Where required, the foreman should be able to receive and act promptly (on behalf of the contractor) on all health & safety instructions issued by the client or client's appointed representative.

### **11.2 Arrangements for work areas wholly handed over to contractors**

Parts of the premises not required by occupiers or the public for access should be enclosed within a perimeter fence at least 2 m high which is sufficient to prevent access by unauthorised people, unless this is already achieved by an adequate boundary wall/barrier.

All aspects of fencing and protection should be confirmed at the site hand over meeting. The perimeter fencing should be erected before work begins, and while the surrounding area is clear of staff and pupils. Consideration should be given to the possible presence of underground services, if evacuations are required for fence posts.

The contractor should ensure entrance gates are closed and locked when not in use. If fencing is to be moved or adapted during the works this should be undertaken while area is clear of pupils and staff. All fencing should be dismantled and removed on the completion of

works, but not until all danger has passed.

All site visitors, including the supervising officer, should report to the contractors' liaison officer when arriving on site. Notices informing visitors of this requirement and any other reporting requirements should be agreed and posted at site entrances.

### **11.3 Work in and around occupied buildings**

Wherever possible, work areas should be physically separated from areas used by staff and pupils. Details of separation should be agreed at the pre site meeting. Any changes throughout the contract should also be agreed.

### **11.4 Access equipment in use for less than 1 day**

When ladders, scaffolds etc. are to be in position for less than 1 day a clear demarcation of warning tape or similar should be provided and maintained, 2 metres clear of the equipment. During this period equipment must not be left unattended when erected. All ladders are required by law to be securely fixed.

### **11.5 Access equipment used for more than 1 day**

When ladders, scaffolds etc. are erected and positioned for more than a working day, a barrier should be provided and maintained to prevent unauthorised access. The barrier should be 1.8 m high erected 2 m from the base of the scaffolding.

All scaffolds, hoists and barrier fencing etc. should only be erected and dismantled when the surrounding area is clear of staff and pupils.

The client or client's representative should be informed in writing of the start date, time and likely duration of the work so that the period during which these activities may be undertaken can be agreed and the need for temporary barriers be considered.

Attention should be given to overhead power cables or physical obstructions during the erection or alteration of scaffolds.

### **11.6 Movement of mobile towers and ladders**

Equipment should only be moved when areas are clear of staff and children. The client or client's representative should be informed of the need to move such plant and advised of the start time and likely duration.

All scaffolds and hoists must comply with the Provision and Use of Workplace Equipment Regulations 1998 (PUWER).

The contractor is responsible for all aspects of the scaffolding, including selection of competent subcontractors. Scaffolds should be rigidly connected to the building or other structure unless the scaffold is so designed as to ensure stability without such connections. The scaffold must be tied to the building at regular intervals as the work proceeds.

All equipment should be maintained in a good condition. It is the contractor's responsibility to

obtain handover certificates from scaffolders.

Satisfactory storage arrangements for scaffold tubes and fittings should be agreed with the client or client's representative prior to arrival.

At the end of each working day the hoist motor should be immobilised. The hoist requires inspection once a week, and records maintained.

#### **11.7 Protection against falling objects for staff & pupils.**

All working platforms must be adequately supported and fully boarded out. This included the provision of guardrails and toe boards, and where there is a risk of materials being displaced, brick guards and sealing of the working platform.

Where there is a risk of debris falling within the confines of the barrier fencing, this fencing should be of solid construction.

Where works are to be undertaken on or in roofs, which are above or adjacent to occupied rooms, all necessary protection should be afforded to the occupants or rooms evacuated for the duration of the works.

Glazed roof lights or similar fragile material should be protected from damage by falling objects. Any areas affected by scaffolding or other works should also be protected.

Where doors/entrances occur beneath either scaffolds or roof work, fans should be provided which should be of adequate construction and also unbroken boarding or sheeting which abuts the fabric of the building and projects as far as the barrier fencing.

Measures should be taken to ensure safety during lifting operations.

Lifting devices should always be considered in preference to manual handling of materials.

#### **11.8 Precautions to prevent damage to vehicles:**

The contractor should take precautions to eliminate or reduce as far as is reasonably practicable, the dangers to staff and pupils arising from the movement of vehicles about the site. This should (if possible) include separate access for contractors' personnel, plant and equipment for the duration of the work and a traffic system which avoids the need to eliminate or reduce reversing. If total separation cannot be achieved vehicles should only enter and leave the premises while staff and pupils are inside the buildings.

If vehicle movement must take place while staff or pupils are in the playground, the contractor should ensure that sufficient warning is given and that a trained banksman is used.

A warning notice should be displayed in a prominent place at all entrances being used by contractors' vehicles.

#### **11.9 Precautions with the storage of LPG**

LPG cylinders not in use should be stored on open air in a well ventilated area at ground level

on a firm, even surface at least 3m away from any hollows where vapour may collect, and where there position will not prejudice means of escape. Protection from exposure to the weather, should be non-combustible and not prohibit ventilation. The storage area should not be close to any source of heat and at least 1 m away from buildings, the barrier fence and fixed sources of ignition.

Cylinders should not be left unattended in open access areas. At the end of each working day they should be returned to secure storage. If they cannot be safely stored within a fenced area on site they should be removed from the site.

Cylinders used with bitumen burners or cauldrons should be at least 3m away from the burner.

Located in a position where they will not be struck by any site traffic. Flexible hoses should be checked for damage and replaced if necessary. A boiler or cauldron should not be left unattended.

#### **11.10 Excavations**

All excavations in open access areas must be covered when they are not in immediate use. Excavations more than 1 m deep must be fenced and suitable warning notices erected.

Checks should be made for possible underground services before excavations are made.

#### **11.11 Dangerous, Noxious or Offensive Substances**

At the pre-site meeting the contractor should provide the client or client's representative with the relevant information on any dangerous substances or processes which may present a risk to the health and safety of staff and pupils. The information should include details of the substance or process and precautions the contractor intends to take for the protection of staff and pupils.

Precautions to be considered include storage, restrictions on the use of buildings and open access areas by staff and pupils, restrictions in working hours by the contractor, physical protection and liaison with the client.

#### **11.12 Asbestos**

The contractor's liaison officer should be informed by the client at the pre-site meeting of the results of any asbestos surveys conducted in the school. If the contractor's work may involve the disturbance of asbestos materials a written system of work should be agreed by all parties before such work begins.

If the building materials used in the construction of the school are not fully documented the contractor should proceed with appropriate caution. If asbestos containing materials are encountered they should be left undisturbed and the planning supervisor notified immediately.

#### **11.13 Stripping Paint:**

If parts of the premises where paint stripping is to take place are not handed over entirely to

the contractor, the client should be advised of the nature of the work and times that the work will take place.

Burning off paint on the external surfaces of doors, window frames etc. should not take place while rooms are occupied and no burning should take place inside buildings. When stripping, dust sheets should be placed beneath the work area to catch all stripped material.

Adequate provision should be made for the ventilation of rooms in which chemical stripping has taken place before rooms can be reoccupied.

Cleanliness during the course of the contract is essential, for example periodic cleaning of the floors, playground, paths etc. beneath stripped areas should take place regularly while the work is in progress. Cleaning should always take place before any known major use of the area by the normal occupants, unless the work area is fenced off.

All rubbing down, both internally and externally should be with wet abrasive. All debris should be kept damp and re-dampened before removal. Debris inside buildings should be swept up and the floor should then be washed.

Debris outside the buildings should be swept up and the area hosed down into a gully or cleaned by industrial vacuum cleaner. Debris should be placed in a lidded receptacle and disposed of.

Dust sheets used during stripping should not be subsequently used elsewhere on site unless thoroughly cleaned off site.

The contractor should ensure that all operations are conducted, and all plant and materials are placed and used in such a manner as to prevent injury to persons or loss of access to agreed essential services or thoroughfares. Plant and materials should not be left unattended without adequate safeguards.

#### **11.14 Electrical Safety**

All electrical equipment with leads passing through areas used by staff and pupils should be operated at or below 110 volts unless agreement has been obtained with the client.

Hand held portable electrical appliances should not be left unattended. Larger items should be electrically isolated when left unattended.

Any connections to the premises electrical supply should be made of properly constructed plugs and sockets, 'tapping' into fuse boxes should not be permitted.

#### **11.15 Glazing**

When replacing glass all reasonably practicable measures should be taken to prevent broken glass falling into open access areas, especially if the window is above the ground floor of the building. If available measures do not prevent the danger of glass falling arrangements should be made to isolate staff and pupils or carry out work at times when they will not be there. Open access areas should be thoroughly cleaned before reoccupation is permitted.

### **11.16 Control of people on and around building operations**

All people visiting the building works, and all subcontractors should be required to report to the contractors' site supervisor on arrival. Notices informing site visitors should be posted at entrances.

The contractors' liaison officer should provide the client or client's representative with reasonable warning before any direct employees of the contractor or sub-contractor begin new work or restart work in parts of the buildings or grounds outside the perimeter fence of the building works, and of any work inside the perimeter fence which may affect the staff and pupils.

## **12 General Precautions to be considered in Relation to all Work on Education Premises**

### **12.1 Safeguarding public access to parts of the site**

Those parts of the site that must remain open to the occupiers or the public should be provided with all necessary footways, guardrails and other protective measures to ensure the safety of the occupiers or the public. The contractor should also provide and maintain temporary access facilities where necessary.

### **12.2 Stability of Buildings**

The contractor should take all necessary precautions to ensure that nothing is done which is likely to endanger the stability of the works or buildings, whether new or existing or adjoining properties. Protective measures should remain in place until all risk of damage or settlement is passed.

### **12.3 Fire Precautions**

In addition to any fire precautions required by the Regulatory Reform (Fire Safety) Order 2005. The contractor should ensure that all fire exits are kept clear at all times and that combustible materials are not left adjacent to any building. Suitable and sufficient, adequately maintained fire extinguishers should be provided by the contractor for use in relation to their own activities.

The contractor should ensure that the direct employees and subcontractors are aware of the premises fire assembly points, emergency procedures and the location of call points.

### **12.4 Provision of warning notices**

The contractor should implement a system of signposting to warn staff and pupils of dangerous operations, plant and chemicals, and of freshly applied materials. All safety signs should conform to the Health and Safety (Safety Signs and Signals) Regulations 1996. In addition, it may be necessary to provide the signs in different languages according to local ethnic communities. These needs should be identified at the pre site meeting.

## **12.5 Skips and site clearance**

Waste, dirt and other debris caused by building operations or other work should be cleared regularly and placed in skips. These should be sited to cause minimum inconvenience to staff, pupils and the public.

If the skips are not within the perimeter they should be adequately fenced off. The contractor should ensure that there is no throwing or tipping of materials from upper stories unless an enclosed chute is provided.

## **12.6 Interference with services**

No diversion of any services other than those shown on the drawing should be carried out without prior written agreement of the client or client's representative. If any temporary disconnection of the services is necessary, the contractor's liaison officer should notify the client with a reasonable period of notice. The contractor should maintain unobstructed access to wet and dry riser inlets and outlets, service cupboards, switch rooms etc. Care should be taken to avoid obstructing gas flues.

# **13 Associated Nuisance, Welfare and Security Items**

## **13.1 Noise & Dust**

The contractor should take measures to minimise the effect of construction noise by applying recommendations contained in BS 5228 (Code of practice for noise control on construction and demolition sites): The Control of Noise (Code of Practice for Construction and Open Sites) (England) Order 2015.

The contractor should use the most effective noise reduction measures available, and plant likely to cause a disturbance should only be used within the periods previously agreed by the client or client's representative.

Where site activities are possibly going to create a large amount of dust then specific precautions should be taken. Some alternatives are:

- Sealing all openings adjacent to the works totally enclosing the work area.
- Damping down work areas
- Localised dust extraction

Even with these precautionary measures, the client should be forewarned of such problems in order that additional cleaning may be considered for the duration of these activities.

## **13.2 Nuisance/loss of access interference**

The contractor should not block the access for staff or pupils or the public to roads, parking areas or pathways during the progress of works. All work should be carried out so as to cause the minimum of interference.

### **13.3 Changing Rooms, Toilets etc.**

Areas which are sensitive to being overlooked (e.g.: toilets, changing rooms, showers etc.) should be screened before works which may provide access being undertaken.

### **13.4 Security**

Buildings where scaffolding or other access equipment is to be erected are more vulnerable to security problems than others. When work areas are bounded by a substantial perimeter fence this is not always adequate enough to prevent intruders from gaining access. The following security measures should be considered either individually, or in combination, to achieve an acceptable level of deterrence to intruders.

These measures should be defined and agreed at the pre site meeting:

- All windows in the vicinity of the access equipment secured to prevent entry
- Screens/plywood panels fixed to area of high risk
- Additional fencing around higher elevations of scaffolding
- Lower lifts secured by additional fencing or boarding
- Additional patrols of contractors or security personnel
- Where scaffold ties pass through open windows, these should be secured and plywood screwed to the inside of the windows over the open areas to the satisfaction of the client's site/project manager or other authorised representative.
- Ensure that procedures for checking security especially on painting activities or other maintenance to windows.
- All points of contractor's access to the premises are adequately secured at night.
- Contractors ensure that all existing external window grilles and/or locks are replaced on completion of work.
- Scaffolding or other building works do not interfere with or provide access to any part of the alarm systems i.e. alarm wiring, sensor units, door contacts, control panels etc.
- Use is made as appropriate of artificial lighting for higher risk security areas at night.

## **14 Controlling the Work**

It is important that the responsible person assigned by the school such as a site/project manager or the council if works are commissioned by the council, liaises with the contractor to establish day to day control and monitor health & safety standards at the work site. Overall performance should be reviewed regularly and joint arrangements should be in place for the reporting of any accidents, incidents or 'near misses' into the contractor incident notification (CIN) system.

The officers responsible for site monitoring are not to act as consultants to the contractor but must at all times draw the attention of the contractor to potential or actual hazards/unsafe practices, and be prepared to advise on the school/LA's health and safety requirements. Such observations are to be put in writing. As a guide, some management action procedures are suggested in the management action section of the CIN system which may be adopted or local procedures followed as it is appropriate to the present situation.

Effective lines of communication between the school and those responsible for the contracted work should be clearly established and maintained. There should be no doubt as to how health & safety will be managed. Controls should extend to sub-contractors, including those



who may be introduced at a later stage or whose work on site may be intermittent.

Where there is a hazardous situation, in which death or injury are foreseeable, in the absence of a contractor's representative, the school/LA officer is take such immediate action as necessary to render the situation safe.

Regular meetings between the Contractor and the project/site manager are to be set up. These meetings are to discuss the health and safety performance of the contractor and any improvements that may be required to the working method.

#### **14.1 Contractor Incident Notification (CIN) System**

This system is a register of breaches of H&S standards, incidents of near-miss, dangerous occurrences and accidents caused by contractors and service providers employed to do work at a school. The breaches and incidents regardless of their severity i.e. minor, significant or major should be recorded on the CIN system.

The CIN system is a Microsoft excel workbook and combines a data entry form, guidance notes for the data form use, data register, data analysis page and a management action log worksheet.

The CIN system is held locally at schools for use but schools may consult with the safety Health and wellbeing team on [SHaW@barnet.gov.uk](mailto:SHaW@barnet.gov.uk) or 02083597955 who are able to provide support and guidance over the telephone or by email.

### **15 Contract Completion**

In keeping with the whole contracting procedure it is important to ensure that health & safety matters receive due weighting and are properly verified upon completion. At the final meeting any relevant documentation should be obtained (e.g. electrical test certificates). A check should be made that all equipment and materials have been removed and that working areas have been left in a safe condition. Any damage to fixtures, fittings, floor surfaces etc. should be made good. If equipment has been installed, safe operating procedures, maintenance routines etc. must be clearly identified and understood. Where appropriate there should be a hand over of necessary documentation.

Results of health & safety monitoring should be exchanged and retained as such information may be helpful if further work is considered.

### **16 Further Information & Guidance**

Further advice and guidance is available from the CSG Safety, Health and Wellbeing team (SHaW), the SHaW team or on the council's intranet; and their page contains health and safety guidance and policies and risk assessment forms.

*Safety, Health and Wellbeing Team*  
*North London Business Park, Oakleigh Road South*  
*London N11 1NP*  
*Tel: 020 8359 7960*  
*Email: [shaw@barnet.gov.uk](mailto:shaw@barnet.gov.uk)*

[The Health and Safety Executive \(HSE\)](#) website contains a lot of useful general and topic-specific health and safety guidance, much of which can be downloaded free. HSE priced publications are available from HSE Books (Tel: 0178 881165), or any good bookshop.

**APPENDIX 1**

**CONTRACTOR MANAGEMENT**

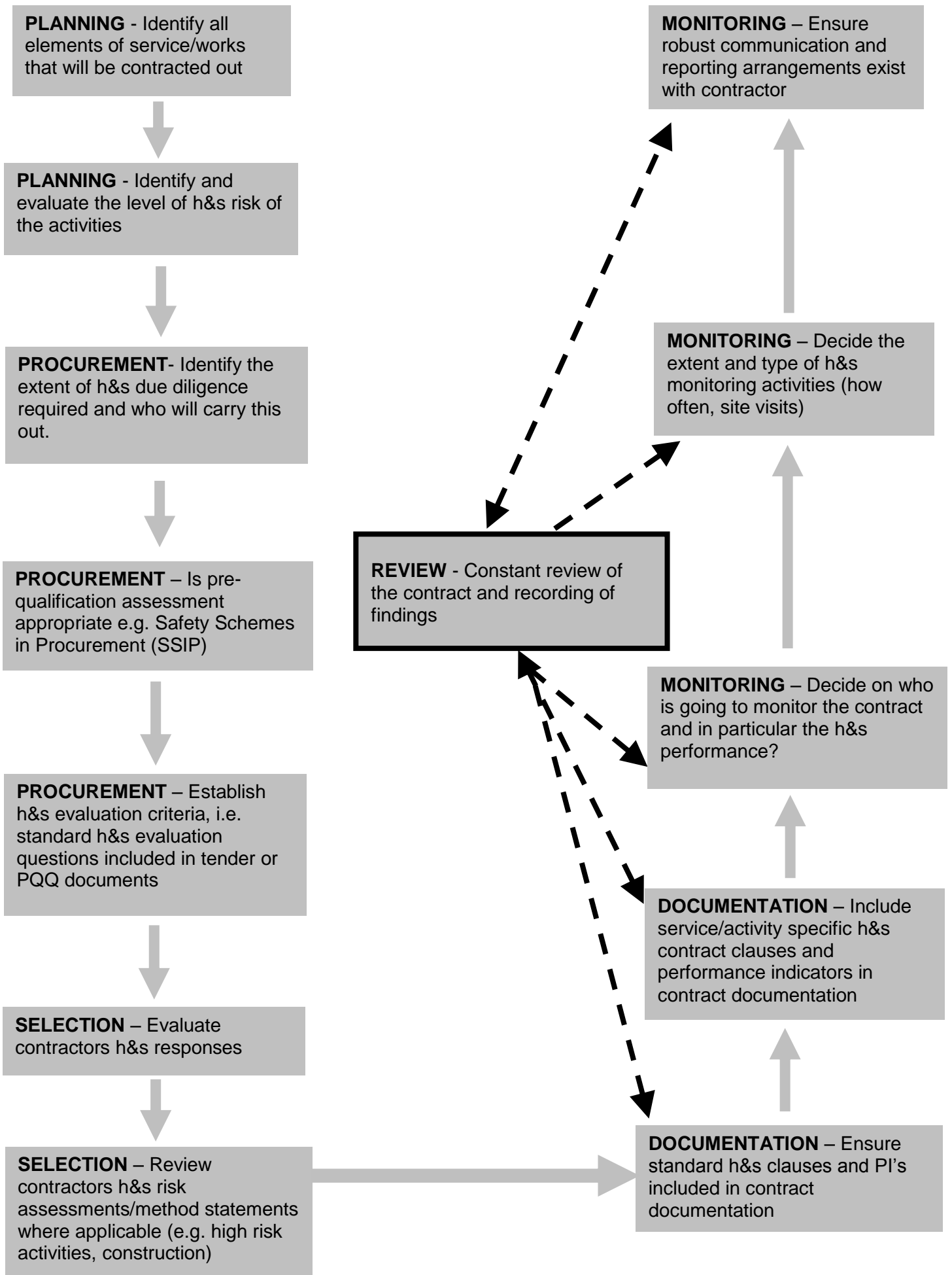
**TOOLKIT**

**PART:**






- A. PROCUREMENT AND CONTACT MANAGEMENT FLOWCHART**
- B. H&S PROJECT MANAGEMENT TOOLKIT**
- C. PROCUREMENT AND CONTACT MANAGEMENT CHECKLISTS**
- D. PRE-ASSESSMENT FOR CONSTRUCTION AND HIGH RISK**
- E. HEALTH AND SAFETY ASSESSMENT QUESTIONNAIRES**
- F. STANDARD H&S CONTRACT CLAUSES AND PI'S**
- G. MONITORING GUIDANCE AND CHECKLISTS**

# PART A – PROCUREMENT AND CONTRACT MANAGEMENT FLOWCHART

## START



**PART B – HEALTH AND SAFETY PROJECT MANAGEMENT TOOLKIT**  
 (for copies of the forms, please contact SHaW ([SHaW@Barnet.gov.uk](mailto:SHaW@Barnet.gov.uk)))

CONCEPT PHASE	ASSESSMENT PHASE	DELIVERY PHASE	PROJECT CLOSE
<p><b>Strategic Outline Case</b></p> <p>Identification of high level significant health and safety risks that may introduce intolerable risk to the Council and effect viability of project.</p> <p>Review and clearance by Councils Statutory H&amp;S Officer (Head of Safety, Health and Wellbeing) for proposals identified with significant H&amp;S risks</p>  <p>Define significant health and safety risk</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>KEY GATEWAY</b></p> <p><b>1. Business Cases and PID</b></p> <p>Consideration of type, degree and provision of H&amp;S due diligence required:</p> <ul style="list-style-type: none"> <li>• Outsourcing/Procuring new</li> <li>• Significant change to existing activities</li> <li>• Shared Services/Joint Working</li> <li>• Insourcing</li> </ul>  <p>Health and Safety Due Diligence Templat</p>  <p>Section 32 - Health and Safety in Constru</p> <p><b>2. Development of Risk Register</b></p> <p>Identification and full assessment of all key health and safety risks, consideration of controls and monitoring arrangements through JCAD</p>   <p>Health and Safety Section 01 - Risk Assessment FormManagement of Healt</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>KEY GATEWAY</b></p> <p><b>1. Risk register</b></p> <p>Manage H&amp;S risks and emerging issues through JCAD</p> <p><b>2. Change Request/Lessons Learnt Log</b></p> <p>Monitor effectiveness of H&amp;S controls for change requests and lessons learnt</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>KEY GATEWAY</b></p> <p><b>1. End Project Report</b></p> <p>Review the project's overall management of h&amp;s risks and any issues that emerged.</p> <p><b>2. Lessons Learnt Report</b></p> <p>Lessons learned to be updated to reflect what worked well / what could be improved for future projects.</p>

## PART C - PROCUREMENT AND CONTRACT MANAGEMENT CHECKLISTS

Health and safety management in the commissioning and procurement process can be separated into three key stages:

**SPECIFY** a safe contract, which facilitates monitoring and reporting and has scope for modifications

**SELECT** a suitable contractor/service provider who can deliver a safe and healthy contract – based on their history, management systems, competence, etc.

**MONITOR** and review health and safety performance throughout the contract, with ability to take corrective and punitive action if necessary.

Take a few minutes to consider the questions below. They are a simple reminder of key health and safety issues to be addressed at each stage of the procurement process. Although not exhaustive, they will help you check whether health and safety considerations are adequately reflected in your processes or whether you need to do more.

### Specifying a safe and healthy contract

In specifying the appropriate health and safety components of the contract, it's crucial to accurately describe the service or function to be delivered and the desired health and safety outcomes. At the outset it's important to consider the preferred method of delivery - whether this is commissioned, contracted, working together in partnership, and whether it's for profit or not for profit. It's important to consider the health and safety roles and responsibilities of all parties.

#### CHECKLIST 1

- What is the scope of the service or activity?
- What significant health and safety risks are associated with the service or activity?
- Are health and safety responsibilities clear for clients and contractor?
- What health and safety competencies are required by those delivering the service or activity - including directors and managers?
- How will health and safety risks be managed within the service or activity?
- What level of health and safety advice is needed to support managers in delivering the service or activity?
- Is pre-qualification assessment appropriate e.g. Safety Schemes in Procurement (SSIP), Contractor Health and Safety Assessment Scheme (CHAS) PAS 91?
- What health and safety targets are appropriate, and how will performance be measured e.g. leading & lagging, proactive and reactive indicators?
- What evidence will you require to demonstrate effective health and safety management in delivering the contract?
- Are the monitoring arrangements clearly spelled out in the contract?
- For shared service delivery and partnership models, has the nature of the relationship been clearly set out?

## **Selecting a safe and healthy provider**

When selecting the contractor or delivery partner, consider if the preferred bidder delivers best value and adequately addresses the real risks associated with delivery of the service - are the controls proportionate to the level of risk presented. Key considerations in the selection process include historical health and safety record, suitable and effective management systems and competence to both manage and deliver a safe and healthy contract.

### **CHECKLIST 2**

- **What process will be used to assess the tenders submitted (e.g. questionnaire, desk top, interview, presentation)?**
- **Who will check that the tender documents meet health and safety criteria?**
- **Does the person assessing/evaluating health and safety have the right skills and knowledge?**
- **Have the bidders provided acceptable evidence in an appropriate form, as set out in the invitation-to-tender document?**
- **Do the bidders have an acceptable health and safety record and has this been verified?**
- **What process is there to give feedback on tender submission?**
- **Is there a process to assist in improving the health and safety performance of bidders?**
- **For shared service delivery and partnership models, does each partner understand their role and responsibilities?**

## **Monitoring h&s performance for the life of the contract**

The client and contractor or partners should work together to meet agreed health and safety standards throughout the life of the contract. They should be encouraged to learn from those with experience and expertise and be willing to introduce change as agreed. Performance should be monitored and reviewed periodically and when required corrective and punitive action should be taken.

### **CHECKLIST 3**

- **Are there clear communication and reporting lines for health and safety issues between the client and contractor or delivery partners?**
- **What are the performance criteria and how will they be audited?**
- **Who will monitor the contract to assess health and safety performance?**
- **What form will monitoring take and at what frequency (e.g. regular performance meetings, review of health and safety performance data)?**
- **Are site visits necessary to monitor health and safety standards – if so who is responsible?**
- **Will there be a process for reporting and responding to poor health and safety standards?**
- **What sanctions will be applied for poor health and safety performance and who will apply them? How will this be dealt with in partnership models?**
- **Are there measures in place to remove a contractor who demonstrates continued poor performance or breach of contract/legislation?**
- **If a contractor has to be removed what is the plan to ensure continued safe service delivery?**
- **How is health and safety performance reported at the end of the contract when extension or renewal is considered?**

## **PART D – PRE-ASSESSMENT FOR CONSTRUCTION AND MAINTENANCE**

**Barnet Council has numerous contracts with vendors which may be accessed through the Strategic Procurement team. The process for selecting a contractor to carry out works is dependent on the nature of the works, the level of risk and value of the contract.**

**Construction and maintenance contractors must be pre-assessed by an SSIP member, such as the 'Contractor Health and Safety Assessment Scheme' (CHAS), to be considered by the council. They will have demonstrated that they have the necessary technical expertise, competence, relevant health and safety systems, operational and satisfactory employment practices to meet the standards required by the scheme.**

**It should be stressed that membership of a scheme does not mean that the contractor has the necessary competency to carry out the specific task/s and further health and safety evaluation should take place before placing any contract with a contractor.**

**There may be rare circumstances where the Strategic Procurement team recommend the use of contractors for construction or maintenance works that have not been pre-assessed by a member of the scheme. In these situations contract/project managers must ensure those contractors complete the h&s evaluation questionnaire and provide method statements, risk assessments, company policies, evidence of competency, information on previous breaches of h&s legislation and references as deemed necessary and that this is evaluated.**

**It should be noted that the health and safety evaluation should examine the contractor's policy and documentation only. The actual implementation of these together with safe methods of working will need to be established on site for each contract by the contract manager within contract conditions, specifications and work orders. Where a scoring system for evaluation is used the scoring should fully reflect the importance of health and safety within the project.**

## PART E – HEALTH AND SAFETY ASSESSMENT QUESTIONNAIRE

It is important to carefully read the following and provide a full response to all the questions as failure to do so may result in exclusion. Contractors who are SSIP pre-assessed are not required to complete this questionnaire.

DATE OF APPLICATION:

COMPANY NAME:

NUMBER OF EMPLOYEES:

REGISTERED ADDRESS:

CONTACT ADDRESS (if different from above):

TELEPHONE NUMBER:

e-mail ADDRESS

NAME OF PERSON ACTING AS YOUR  
COMPETENT HEALTH AND SAFETY  
ADVISER (MHSWR 1999. REGULATION  
7).

STATE THEIR H&S QUALIFICATION(S)

TYPE OF WORK(S) APPLIED FOR:

PLEASE STATE YOUR COMPANIES MAIN ACTIVITIES (If different from above):

**Important Note:** If you have less than 5 employees you need only complete the short questionnaire. Do not proceed to complete any more information on this questionnaire unless you feel it will help the assessor or strengthen your application.

### 1. SAFETY POLICY:

1.1 You must return with this application, a copy of the following documents:

- A signed and dated Statement of your General Policy on Health and Safety.
- The organisation for carrying out the policy - i.e. division of duties, delegation of responsibilities, structure chart, etc.
- The arrangements for carrying out the policy - i.e. safety procedures, safety manuals, etc.

1.2 State how the policy is brought to the attention of all your employees.

----------------------



## **2. H & S MEASURES**

Please set out your arrangements for h&s management including how the company discharges its duties under h&s legislation and how these arrangements are communicated to staff.

## **3. INSTRUCTION & TRAINING**

3.1 Describe what h&s instruction and training you have in place and how you implement those arrangements to ensure all levels of staff have the necessary skills and knowledge to carry out their duties in a safe manner.

3.2 Outline your arrangements for refresher training that keeps employees updated on legislation and good h&s practice throughout the organisation (from board level to trainees)

## **4. MONITORING AND REVIEW**

Please describe how your company monitors h&s performance including audit and review.

## 5. CONSULTATION

Please describe how you communicate and consult with your staff on h&s issues, including details of any h&s committees

## 6. ACCIDENT STATISTICS OR ENFORCEMENT NOTICES

6.1 Please provide accident and ill-health statistics for the last three years

Year	Fatal	Major Injury or "Over 3-Day"	Non-Reportable

6.2 Please provide details of any enforcement notices or prosecutions served on your company in the last three years by the HSE or Local Authority. ***(Please note HSE databases may be checked. A prosecution or enforcement notice will not disbar your company from placement on the list but a failure to disclose one will).***

## 7. RISK ASSESSMENTS

7.1 Do you undertake your own risk assessments? **YES/NO**

7.2 Please enclose examples of risk assessments completed by or for your company within the last three years. At least one example should show non-routine emergency actions and implications for others such as contractors, visitors, clients, etc.). **The examples provided must be specific to a job that your company has undertaken. Generic assessments are not acceptable unless there is clear evidence of how they have been applied to a job.**

7.3 Has your company ever implemented a method statement? YES/NO

7.4 If yes, please enclose a copy of a recently completed Method Statement for a job undertaken.

## 8. CONTRACTORS

8.1 Does your company use contractors? **YES/NO**

8.2 If yes, please describe the arrangements for assessing Health and Safety competence and include a copy of your procedure or questionnaires and one example of a completed assessment. Also describe how you ensure co-operation and co-ordination with contractors and other employers.

## SUMMARY OF ENCLOSURES

When returning the completed questionnaire please ensure that you have included the following documents where appropriate:

Document	Yes/No
Health & Safety Policy statement (the statement of intent)	
Organisation for Health & Safety (Responsibilities, etc.)	
Arrangements for Health & Safety (safety manuals, handbooks, guidance notes, codes of practice, etc.)	
Health and Safety training - copies of certificates of acceptance or attendance, training records, or details of training provider(s)	
Procedure used for undertaking risk assessments	
Worked examples of: <ul style="list-style-type: none"><li>• General risk assessments</li></ul>	

<ul style="list-style-type: none"> <li>• Fire Risk Assessment</li> <li>• Manual handling assessments</li> <li>• Work station assessment (or self-assessment).</li> <li>• COSHH assessments</li> </ul> <p><b>These examples must be specific to work undertaken by your company.</b></p>	
Example of a completed Method Statement (where applicable)	
Contractor competency assessment procedure	
Completed example of a contractor assessment.	

## Short Health and Safety Evaluation Questionnaire For Contractors with Fewer Than 5 Employees

(Registered) Company Name		<b>17 Company Status</b> (delete where not applicable *) *Sole trader *Partnership *Limited company *Any holding or associated company.		<b>18 Public Liability Insurance details</b> Insurer Name Certificate No. Sum Assured Expiry Date	
Registered Address				<b>19</b>	
Telephone no.		E-mail		<b>20 Employers Liability Insurance details</b> Insurer Name Certificate No. Sum Assured Expiry Date	
Number of Direct employees		Name of person responsible for health and safety			
Contact name		Type or types of work undertaken by your company			
Please provide details (on a separate sheet) of any enforcement notices or prosecutions served on your company in the last three years by the HSE or Local Authority. <b><i>(Please note the HSE prosecution databases may be searched. A prosecution or enforcement notice will not debar your company from placement on the database but a failure to tell us of one will).</i></b>					

### MY COMPANY'S COMMITMENT TO HEALTH AND SAFETY

- To provide adequate control of the health, safety and welfare risks arising from our work activities which may affect employees or others
- To consult with our employees on matters affecting health and safety
- To provide and maintain safe plant and equipment
- To ensure safe handling and use of substances
- To provide information, instruction and supervision for employees
- To ensure all employees are competent to do their tasks, and to give them adequate training
- To prevent accidents and cases of work related ill health
- To maintain safe and healthy working conditions
- To ensure sufficient funds are available to implement this statement
- To review and revise this statement as necessary at regular intervals not exceeding 12 months.

### 2 EVIDENCE TO BE SUBMITTED

**Please supply with the return of this application the following supporting documents as detailed below. These documents should be relevant to the type of work being applied for.**

**(For guidance on evidence to be submitted please see notes on reverse of questionnaire)**

SUBMITTED	Y / N
Risk assessment / Safe systems of work / Method statement	
Emergency Procedures	
Sample copies of training certificates / records for all employees (including managers)	
COSHH assessments*	
Details of how sub-contractors are assessed for competency*	

\*State N/A if it is not applicable to your business.

**Signed:**  
**Position:**

**Date:**

## PART F – STANDARD HEALTH AND SAFETY CLAUSES AND PERFORMANCE INDICATORS

### 1. Standard Health and Safety Contract Clauses

The *Contractor/Provider* shall

- ensure the health and safety of its employees and any other person who may come into contact with, or be affected by, its activities and ensure the provision of welfare and first aid facilities for its employees
- the Contractor shall ensure the provision of health and safety training to ensure that its employees are competent, and remain competent throughout their employment, to safely; carry out their role and undertake any health and safety responsibilities or functions given to them
- comply with the requirements of all legislation, approved codes of practice and associated guidance relating to health, safety and fire, which may apply to employees and other persons in the performance of its obligations under the contract
- have a written health and safety policy which must be at least equivalent to the Authorities equivalent policy in scope and effectiveness and ensure that employees are aware of and comply with this health and safety policy
- have in place health and safety management systems that follow the guidance contained in HS(G) 65 to include the assessment and control of risk for any work activity carried out in the in the performance of its obligations under the contract
- shall produce method statements for high risk activities, as requested by the *Contract Manager/Authorised Officer*, and provide that information on request
- keep its health and safety policies, procedures and risk assessments under review and comply with any changes, amendments or further lawful instructions reasonably requested or issued by the Authority in connection with the *Contractors/Providers* health and safety policies, procedures or working methods. The *Contractor/Provider* shall notify the Authority of any changes made
- employ, or have arrangements for access to, competent health and safety advice and notify the *Contract Manager/Authorised Officer* of these arrangements. The *Contractor/Provider* will also be required to nominate a representative to liaise with the *Contract Manager/Authorised Officer* on all health and safety matters
- carry out all necessary statutory tests and inspections, maintain records of these, and provide the *Contract Manager/Authorised Officer* with details on request
- ensure that all equipment is installed, used and maintained to meet statutory requirements, appropriate national/international standards and manufacturers recommendations
- ensure that any equipment supplied or loaned to them by the Authority is properly maintained and that their employees are competent and given instruction in the use of this equipment
- have in place procedures and arrangements for emergencies and notify the *Contract Manager/Authorised Officer* of these on request
- maintain a full record of all incidents relating to health and safety which occur during the term of this contract
- promptly notify the Authority of any known health and safety hazards which may exist or arise in connection with the performance of its obligations under the contract
- ensure that all its employees are notified and adhere to all health and safety rules, including emergency procedures and means of escape, when working on Authority premises

- inform the *Contract Manager/Authorised Officer* immediately of any fatality and, within twenty four (24) hours, of any major Injury, reportable disease or reportable dangerous occurrence that occurs in the performance of its obligations under the contract
- be responsible for managing and reporting on sub-contractors including their health and safety performance, and any changes to those sub-contractors
- co-operate fully, at its own cost, with the *Contract Manager/Authorised Officer*, or their representative, who may carry out periodic spot checks to ensure that the *Contractor/Provider* is complying with its health and safety obligations under this contract
- in all instances, ensure the *Contract Manager/Authorised Officer* or their representative, have reasonable access to the *Contractor's/Providers* premises, sites and activities and co-operate and provide such reasonable assistance as may be necessary to facilitate monitoring
- provide the *Contract Manager/Authorised Officer* with an annual report to include the preceding 12 months health and safety performance and health and safety performance targets for the subsequent 12 month period. The report to include information agreed with the *Contract Manager/Authorised Officer* and outlined in schedule \*
- provide the *Contract Manager/Authorised Officer* on request with more regular health and safety performance reports or additional health and safety performance indicators, which may be dependent on the nature and level of risk and/or the *Contractors/Providers* previous health and safety performance

#### *Step-ins/actions/penalties*

*The Contract Manager/Authorised Officer shall be empowered to suspend the provision of the services in the event of non-compliance by the Contactor/Provider with the health and safety requirements of the contract or for breaches of health and safety legislation or council policy. The Contractor/Provider shall not resume provision of the services until the Authorised Officer is satisfied that the non-compliance has been satisfied.*

*No payment will be made for any part of the Services omitted as a result of a cessation of the Services required by the Authority due to breach of any health and safety requirement and neither will any additional payment be made for steps which the Authorised Officer requires the Contractor/Provider to take to remedy the breaches of the health and safety requirements.*

*Step in because of a significant, substantial or repeated failure by the Service Provider to comply with the provisions contained in clause 11A (Health, Safety and Welfare) causing a risk to the health or safety of persons or property or to the environment,*

## **2. Standard Health and Safety Lease Clauses**

### **4.6 STATUTORY OBLIGATIONS**

4.6.1 At the Tenant's own expense to execute all works and provide and maintain all arrangements (including in respect of all machinery appliances apparatus tools or installations of any kind 'the Equipment') upon or in respect of the Premises or the use to which the Premises are being put that are required (whether by the lessor the lessee or the occupier) in order to comply with the requirements of any statute (already or in the future to be passed) or any government department local authority other public or competent authority or court of competent jurisdiction and in particular the Tenant shall ensure that suitable systems are in place for the management of fire asbestos legionella lifts hoists gas and electrical installations and any other health and safety matters at the Premises which the Corporation may consider necessary the Tenant arranging for and bearing the cost of all statutory inspections maintenance and testing to be carried out in respect thereof and shall on demand produce or procure the production to the Corporation (at the Tenant's expense)

of information and copy documentation evidencing compliance with the provisions of this sub-Clause 4.6.1

4.6.3 Without prejudice to the generality of the foregoing to comply in all respects with the provisions of any statutes and any other obligations imposed by law or by any byelaws applicable to the Premises or in regard to carrying on the trade or business for the time being carried on by the Tenant on the Premises and to give notice to the Corporation of any health and safety hazard in the Premises which might give rise to an obligation on the Corporation to do or refrain from doing any act or thing in order to comply with the provisions of this Lease or any duty of care imposed on the Corporation pursuant to any statute or otherwise (the Tenant acknowledging that the Corporation has notified the Tenant of all health and safety hazards present in the Premises at the date hereof)

4.18.9 Not without the Corporation's prior written consent to store or bring onto the Premises any article substance or liquid of a hazardous nature and to arrange for the safe handling storage and disposal of any such that may be brought onto the Premises

4.18.10 To ensure that the Equipment is installed used and maintained in accordance with the requirements of any statute (already or in the future to be passed) all appropriate British European or International standards applicable to the Equipment and any manufacturers recommendations

## 6. INSURANCE

6.3 The Tenant covenants with the Corporation

(vii) to give notice to the Corporation forthwith upon the happening of any incident at the Premises of a major or emergency nature

### 3. Standard Health and Safety Performance Indicators

Name	Measure	Target	Frequency
<b>PI 1 - Accident Incidence Rate (AIR)</b>	Number of non-fatal RIDDOR reportable incidents over period X 100,000 / Average number employed over that period	10% Below SIC Published Rates for Industry (HSE)	Quarterly
<b>PI 2 - Major Injuries</b>	Total number of RIDDOR 'Major Injuries'	10% year on year reduction until Zero	Quarterly
<b>PI 3 - Over 7 day Injuries</b>	Total Number of RIDDOR 'Over 7 Day' reportable injuries to employees	10% year on year reduction until Zero	Quarterly
<b>PI 4 - Enforcement</b>	Any enforcement action, including prosecutions and notices served	Zero	Quarterly
<b>PI 5 - Training</b>	Percentage of staff who have received health and safety training	>90%	Quarterly



## **PART G – MONITORING GUIDANCE AND CHECKLISTS**

### **References**

- A. The Health and Safety at Work etc. Act 1974.
- B. Management of Health and Safety at Work Regulation 1999.
- C. Construction (Design and Management)(CDM) Regulations 2015 .
- D. The Provision of and Use of Workplace Equipment Regulations (PUWER) 1998.
- E. The Regulatory Reform (Fire Safety) Order 2005.
- F. Workplace) Regulations 1997.
- G. The Health and Safety (Safety Signs and Signals) Regulations 1996.
- H. The Control of Noise (Code of Practice for Construction and Open Sites) (England) Order 2015.