

POLICY FOR HEALTH, SAFETY AND WELFARE

PART C ARRANGEMENTS

SECTION 6

MANAGING CONTRACTORS



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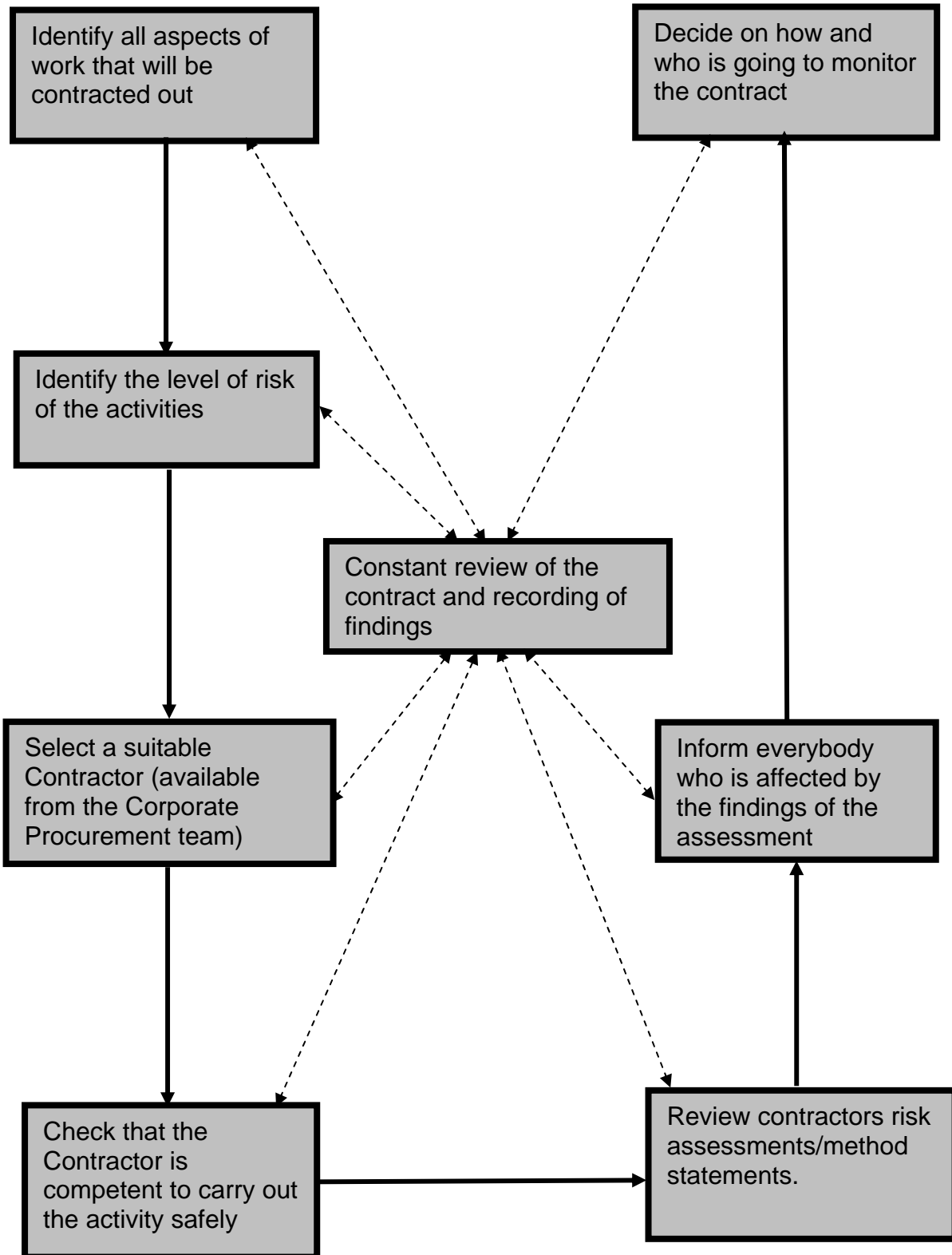
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PROCEDURE FOR THE MANAGEMENT OF CONTRACTORS

START



GUIDE TO THE CONTROL OF CONTRACTORS

Step	Action	Guidance
Step 1	Where to start.	Clearly identify all aspects of the work you want the contractor to do, including work falling within the preparation and completion phases.
Step 2	Identify the level of risk.	The level of risk will depend on the nature of the job. Whatever the risk, health and safety implications must be considered.
Step 3	Finding a suitable contractor.	Contact the Corporate Procurement team for information on suitable suppliers to the Council.
Step 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. For construction / maintenance activities or for high risk activities the contractor must also be on the <i>Councils Safe Contractor list.</i>
Step 5	Assess the risks of the contract and decide on 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.
Step 6	Ensure employees are properly informed, instructed, trained and supervised.	You should provide employees (and non-employees where appropriate) with suitable and sufficient information, instruction and training, to work safely and without risk to health.
Step 7	Monitoring the contract.	Decide on how the contract is going to be monitored (i.e. weekly meetings, accident records, performance against time plan.
Step 8	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.

1. DEFINITIONS

Client: A person who employs a contractor to carry out any kind of work or provide goods or services. In this document, the client is the Council, and the duties of the client rest with the person in control of the contract (Contract Manager). For Construction works/projects, the client is also bound by certain additional legal duties. For more information about this, refer to the policy on [Health and Safety in Construction](#).

Contractor: A person, consultant, agent, company or corporate body who is bound by legal contract with the Council to undertake work or to provide a service for or on behalf of the Council.

Council Premises: Any property, building, house, highway or land, owned or occupied by the Council or forming part of the Council's undertaking, including Community Schools. This includes any Council premises, including housing stock, for which the Council has by virtue of a lease or tenancy agreement a duty to carry out maintenance.

Premises Controller: A Council officer appointed to carry out duties, listed in Part B of the Council's for Health, Safety and Welfare, within Council premises, but excluding Council housing stock and other Council owned premises that are leased. In schools this may be the Headteacher or a nominated senior member of staff.

Principal Contractor: The principal contractor is usually leading the contract. The principal contractor's role is to co-ordinate with the client to plan and manage health and safety. For Construction works/projects the principal contractor has additional legal duties which include notifying the HSE.

2. GENERAL

Contractors can be employed to undertake various activities on behalf of the Council, from large high value projects to small value maintenance works, for example;

- front line operations – recycling, care provision;
- delivery of services – Legal advice, supply of goods
- projects - regeneration, construction.

The Council has procurement rules in place which Council officers are required to follow. This arrangement is designed to be used in tandem with those rules to ensure health, safety and welfare is fully considered when commissioning and managing contracts.

Health and safety law places a duty of care on **all** employers, this includes the Council, to ensure the health and safety of its employees, and others (e.g. visitors, members of the public, contractors) who may be affected by the work activity. The key parts of this general duty are to make sure that any contractors employed by the

Council are:

- Informed of the hazards that are known to be present in the work that they have been employed to do to enable them to assess and control risk;
- Competent to do their job safely and choose safe competent sub-contractors;
- Managed and monitored to make sure they are doing the job properly and safely.

Where contractors' activities form part of what is considered to be a 'core activity' of a Council, for example refuse collection, the Council owes a greater degree of duty of care to contractors' employees than in the usual client/contractor relationship.

Where the contractor's activities are not considered to be a part of a Council's 'core activities', for example leisure facilities, the contractor and their employees have the status of 'others' in regard to the normal work activity conducted by the Council. Even though the Council has a lesser duty of care in these circumstances, appropriate measures must still be taken to protect the contractor and their employees from risks associated with the premises or sites and the activities undertaken there.

Where a contractor is engaged to work in occupied Council premises or sites, where the Council is the main employer, the Council retains overall responsibility for site health and safety issues. The contractor retains the main duty in regard to health and safety matters related to the work, and to all persons, including Council's employees, who may be affected by that work, as outlined above. For more guidance see the Council policy on [Working in Partnership](#).

Any duties or obligations that are additional to Common Law, which the Council imposes upon the contractor, must be specified in the contract documents. All contract documents must refer to the relevant requirements of the health and safety legislation and associated Approved Codes of Practice and Guidance. The following must be included where applicable:

- The right of entry/intervention of the Council's supervising officer and/or other authorised officers.
- The known significant hazards of the premises.
- The requirements for certificates of safety worthiness of plant being brought onto the premises.
- Requirement for certificates of competence to operate plant/equipment e.g. erect scaffolds, mobile scaffolds, MEWP, folk lift trucks, pressure jets/hose etc
- The sanctions applicable for unsafe practices.

3. ADDITIONAL CONSIDERATIONS

3.1 Construction Design and Management Regulations (CDM)

All "construction work" falls under the Construction Design and Management Regulations (CDM). Construction work is defined in the Regulations as the carrying out of any building, demolition, civil engineering or engineering construction work.

For non-construction works it is good practice to adopt the core principles of CDM namely;

- Competent contractors are selected appropriate to the work being carried out;
- Contracts provide risk assessments and method statements appropriate to the work and level of risk to be done;
- That there is an exchange of information with regards to risks and control measures needed to carry out this work;
- The contractor adheres to it's safe systems and work
- The Council (Client) manages and monitors the Contractor to ensure they are doing the job properly and safely; key health & safety targets need to be set.

For information on CDM, please refer to the Council's policy on [Health and Safety in Construction](#).

3.2 Tenanted or Leased Premises

Where the Council has a responsibility to carry out work on, or provide a service to, occupied tenanted or leased premises (as defined by its Contract) and uses contractors for this purpose, the contractor's duties are to:

- Ensure the health, safety and wellbeing of it's employee's, Council employees and non-employees i.e. tenant, building user, visitors etc
- Supply competent staff or sub-contractors appropriate to the work being carried out;
- Provide risk assessments and method statements appropriate to the work and level of risk;
- Exchange information with the Council and building occupants with regards to risks and control measures needed to carry out this work;
- Adhere to it's own safe systems and work;
- Manage and monitor their works to ensure it is done properly and safely and;
- Cooperate with the Council to ensure it satisfies its statutory obligations and provide health & safety KPI's as agreed in the Contract.

3.3 Asbestos

Where the activity involves working with asbestos, the Council's [policy on asbestos](#) will apply and Directorate management must comply with the responsibilities for selecting and managing contractors outlined in the policy. This specifically means using only **Approved Asbestos Contractors!**

3.4 High Risk Activities

From time to time there may be some works of high risk that additional health and safety checks and precautions need to be taken. Such activities may include;

- working in confined space;
- hot working;
- live electrical work;

- handling hazardous substances e.g. large quantities of chemicals or pesticides.

For some high risk activities a Permit to Work may be issued. For more information about this, refer to the policy on [Permits to Work](#)

4. RESPONSIBILITIES

4.1 Chief Officers

Chief Officers, or their representatives, with responsibilities for commissioning contracts are responsible for ensuring:

- risks are considered and controlled in the planning stage of projects
- adequate resources and sufficient time are allocated to the project with regard to this procedure and to safeguard the health, safety and welfare of all people affected by the work, and to minimise environmental impacts caused;
- the Council Contract Manager is competent by ensuring they are provided with suitable and sufficient information and instruction;
- careful consideration of the scope of the work and only appoint contractors who can demonstrate the skills, experience and health and safety required;
- contractors are made aware and understand what performance is expected;
- clarification of the Council's health and safety arrangements and ensure the contractor is shown and understands any relevant procedures and policies they are expected to comply with.

4.2 Council Contract Manager

This may include the Premises Controller and/or Project Manager who are responsible for ensuring:

- only competent contractors are allowed to carry out the works;
- contractors have suitably and sufficiently assessed the risks related to the works;
- liaison with the contractor to agree safe systems of work for the types of project to be undertaken including separation - where possible - the main work activity of the premises from the contractor's work;
- any precautions form part of the local arrangements for health and safety;
- the contractor is made aware of any relevant and significant risks associated with either the site activity or the site itself and informed of the emergency arrangements;
- information is collected and necessary action taken to deal with any risks arising out of the contractor's activity that could affect other occupiers of the premises;
- on-site risk assessments, the asbestos register and, where applicable, site health and safety documents are readily available to contractors;
- liaison with other Council officers involved in supervising the contract and the contractor's representative;

- consultation takes place with the Trade Union appointed Health and Safety Representative for the premises, on the proposed and subsequent activity;
- Council employees and others who may be affected at the premises, are kept sufficiently informed to ensure their health and safety;
- appropriate action is taken to protect the premises occupants, and service users.

4.3 Corporate Procurement Team

The Corporate Procurement Team is responsible for:

- Providing guidance to Chief Officers or their representatives.
- Maintaining the Contract Procedure Rules and Procurement Code of Practice and making them readily accessible via the intranet.
- Sending questionnaires to nominated contractors.
- Co-ordinating the evaluation of contractors' suitability.
- Obtaining references for prospective contractors.
- Maintaining the Safe Contractors List.
- Ensuring that contractor data/information on SAP is regularly maintained and up to date.

4.4 Safety, Health and Wellbeing (SHaW) Team

The SHaW team are responsible for:

- Providing guidance and support to Chief Officers or their representatives
- Providing guidance and support to Council Contract Managers.
- Determining the minimum acceptable level for defining the health and safety competency for inclusion on the Safe Contractors List.
- Support Directorates during the planning stage of projects to ensure H&S is considered
- Assist in setting contractor health & safety performance indicators;
- Assist services to monitor contractors H&S performance ;
- Audit Service Areas systems for monitoring Contractors health and safety performance.

5. Management Arrangements

5.1 Management considerations

Establishing and managing safe working arrangements when working with, or outsourcing work to contractors is an important requirement. Contract works may face particular problems and some of the issues which require extra consideration when planning safe working arrangements are as follows:

It is a requirement in the activities of construction or maintenance that any contractor awarded work by or for the Council is registered under the 'Contractor Health and Safety Assessment Scheme (CHAS)'. For other high risk activities the contractor

must be on the Councils Safe Contractor List (Appendix 1 gives information regarding this list). For 'supply only contracts' please refer to paragraph 7 of this document. Corporate Procurement will advise if any further categories of operation are added requiring CHAS membership.

5.2 Contract Management

Ensuring health and safety is fully considered in contractual relationships relies on good planning, set policies and strategies as well as contract management.

Planning

- identify risks at planning stage of project
- eliminate or reduce risks before project initiation

Performance management

- Clear contract specifications
- High level H&S KPI's
- Performance reporting tools – management information, frequency and level of information dependant on risk and whether a 'core business activity'.

Contract management

- Robust governance arrangements
- Effective Communications strategy
- Risk management
- Systems for Incident/complaint resolution

The Client

Any person, who is responsible for the setting up of a contract, service level agreement or other arrangement involving contracted services, must ensure that there are realistic and adequate arrangements put in place for the contract manager to effectively control contractors. The Corporate Procurement team should be consulted where necessary in contract or service provision matters. In the field of construction or maintenance activities no work should be awarded unless the contractor is CHAS registered. For other high risk activities the contractor must be on the Councils Safe Contractor List (Appendix 1 gives information regarding this list).

The Corporate Procurement team must be consulted if there is any difficulties e.g. the need to use non-CHAS registered contractors for construction or maintenance work. Appendix 2 documents the 'Safe Code of Practice for Contractors' to which all contractors should abide by as a minimum standard.

Health and safety requirements should be written into any contract; however statutory responsibility cannot be discharged from one party to another by contract. Clients and contractors both have health and safety responsibilities and these should be clearly defined. Clients should clearly identify all aspects of work they require contractors to undertake from preparation to completion, including consideration for continued maintenance and where necessary incorporated into work requirements awarded to contractors. Clients have a duty to manage health and safety issues with regard to the selection of suitable contractors, assessment of risk, deciding what

information, instruction and training is required, consultation and co-operation arrangements, and what levels of management and supervision are required for the foreseeable risks. In most cases competency of contractors should be demonstrated by the provision of training records, risk assessments and method statements etc. For larger construction projects the appointed CDM Co-ordinator will manage these matters and advise the client accordingly.

External Contractors

External contractors must meet the requirements of the client and comply with all health and safety legislation and any relevant client policy or procedure. The clients' representative must ensure that contractors are provided with all known information to address any risk to which their employees may be exposed during the course of their contracted work. Effectively this must be provision of work specification, suspected presence of harmful materials such as asbestos, utility services and the standing policy requirements of the client.

The responsibility for health and safety at operational level is that of the contractor, clients however have duties to ensure those responsibilities are being managed by the contractor and its sub-contractors. Realistically this will require the client or client's agent, where appointed, to make arrangements for health and safety monitoring such as examination of health and safety records, sample site visits, site meetings and examination of evidence of compliance such as survey results or service user complaints.

At the conclusion of work projects by external contractors, arrangements for determining the contractor's compliance to the clients' specifications should be made. Good practices or failings should be considered and, where necessary, feedback information should be passed on to the Corporate Procurement team as it may affect their future status as a Council Supplier.

Sub-Contractors

The selection of sub-contractors should be left to the contractor; however, the Council still has a duty to satisfy itself that a contractor has effective procedures for appraising the competence of sub-contractors. For this reason, all sub-contractors should be subject to the same or equally rigorous selection criteria as a main contractor, including CHAS accreditation. When choosing a subcontractor, a contractor may use some or all of the criteria that a client may use in selecting a suitable contractor. Again, the degree of competence required will depend on the work to be done.

Internal/ In-House Teams

At times internal teams may act as a contractor; this is often the case with regard to technical consultancy, repair and management services. Where services are provided by in-house teams they must be managed to the same requirements as those imposed on external contractors.

Internal teams are required to meet the minimum legal standards and the client's instructions; they should receive any essential information from the client and be subject to client management checks as if they were an external contractor. Internal teams will be responsible for day to day operational safety for any work they are engaged on; the supply of all documentation requested; and meeting the standards

set by the client. An advantage for internal contractors is that in many cases they have access to the client's management and information systems; this should make compliance with the client's requirements more efficient. Where a sub-contractor is awarded work from the in-house teams those contractors must meet all the above requirements of the Council, and in relation to construction and maintenance work be CHAS registered as well as on the Safety Assessed Supplier List (SASL).

Procurement of Contractors

All public bodies must demonstrate best practice in health and safety management. Corporate Procurement will become a local authority exemplar and lead the way in improving health and safety performance in the private sector and those organisations that contract with us, and will promote best practice right through the supply chain.

All parties who contract with us will be subject to health and safety vetting to ensure they meet and where possible exceed legislative compliance. Health and safety performance of those parties will be subject to scheduled monitoring, and performance reviews to drive increased health and safety performance. Where those parties do not meet our laid down prescriptive standards or meet our own health and safety performance standards, then those parties will not be permitted to contract with us.

The Councils Standing Order's must be applied and the adequate evaluation of any contractor must be made. Clients are not required to manage the operational day to day health and safety of contractors; they are required to ensure however that any contractor's health and safety arrangements meet the requirements of the Council as well as the legal minimum standards. Inevitably this will require a procedure involving monitoring and documentation which meets the clients needs, this must be appropriate to the work being undertaken on the client's behalf.

A suitably assessed Contractor comprises of 3 stages and the Council requires contractors to comply at all relevant stages-

1. The Council has responsibility to ensure the contractor has the ability to carry out the specific work requirement safely and has suitable H&S policies and management systems in place. The responsibility of the contract/project manager entails ensuring the adequate review of risk assessments, method statements, etc and evidence of competency to adequately carry out the activity required (including the use of subcontractors).
2. The Council is responsible for ensuring arrangements for adequately monitoring contractors is in and effective throughout the term of the project, this is the responsibility of the project/contract manager.
3. CHAS Assessment (for construction or maintenance activities) - external verification to show the company has basic arrangements in place to adequately manage health and safety.

Directorates must make arrangements for vetting contractors that meet the corporate requirements of the Council, and they must provide documented evidence that these arrangements are in place.

Good management of contractors requires good communication and consultation between all parties involved. Where health and safety requirements are not met the client and contractor should endeavour to put things right, should this not be possible then the suspension of work may be necessary until a solution is found. In life and limb situations, or in serious legislative breaches, the Head of Safety, Health and Wellbeing may act on behalf of the Chief Executive and suspend work until necessary remedial actions have been completed.

To ensure that the responsibility for the management of work is clearly defined, handover certificates that are signed and dated should be used. For construction and maintenance activities it is recommended that the principles documented in the Construction, Design and Management Regulations are applied as best practice whether or not the works fall strictly within the scope of the regulations.

5.3 Monitoring and Review

In the pre-contract discussion, the aspects of monitoring the work should have been discussed in detail by the client and the contractor as this is the main means whereby the progress of work is assessed. If problems regarding one aspect of the work can be detected and remedied then it is best put right as soon as practicable rather than leaving it to become a major issue. Although any change in the work due to mishaps or the lack of appreciation of a risk may lead to an accident that could have been avoided, the overall outcome will always be a delay and a financial loss will result. Hence monitoring is crucial so that problems can be detected as they are about to occur so that this inbuilt review process is seen to be a guidance facility rather than a controlling contractors concept and so tarnish the working relationships.

Proactive monitoring is used to measure performance criteria. This is used to establish the meeting of agreed intermediate targets by way of inspections, audits and whether schedules are to time. The reactive monitoring process is to view where an action has failed to materialize or where there is lost time issues, taking increased budgetary expenditure or lack of quality in product or service. Hence this is where problems are examined and rectified.

For long term contracts additional monitoring should take place:

- Quarterly review of H&S KPI's
- Annual check of the contractor's continued presence on the CHAS database, and the absence of adverse comments from other CHAS users.
- Require the contractor' to submit an annual report, describing any new health and safety arrangements introduced, reporting on any serious accidents or dangerous occurrences, records of their own health and safety monitoring activities, and their health and safety action plan for the coming year.

For inspections, both the formal and informal types are needed to examine the contract work in progress and is proceeding according to plan and is being carried out in a safe manner. The frequency would depend on the nature of the contract and the services being provided. This would depend on the number of criteria such as the:

- size of the contract in terms of scheduled time and numbers of contractors employees on the premises, and;
- level of risk of the work that is being performed.

Once the inspection and review of work in progress is completed this information should be recorded with agreed follow up action. Not least is the communication of the results to all persons who need to know, such as main contractor and the work supervisors and liaison personnel of both the contractor and client. Changes in methods of work are often the result of problems revealed during inspections and should be communicated immediately with possibly the need for further briefings and training. At the final review the work performed by the contractor, the formal assessment will have the following two principal purposes.

1. The contractor's performance and an evaluation of the job recently completed
2. A review of all parts of the job to decide which aspects might be carried out better in the future.

This information with changes in work procedures recommended should be recorded for future reference. If the contract was successful then a decision should be made as to add, retain or delete the contractor in question.

In respect to health and safety, the review should look at each stage in the process to evaluate the working of the health and safety arrangements. Issues that should be addressed are the safety performance of the contractor, the contract work that had been performed, the effectiveness of the arrangements between contractor and client and how well the contractor managed the work assignment with his employees.

The Council is committed to monitoring indicators that evidence the success or failure of managing contractors working within and across Directorates to identify trends and hotspots within specific occupational areas so that further risk management activity can ensue. The Council will regularly monitor this through such methods as:

- Accident/Incident Reporting statistics.
- Staff Turnover.
- Exit Interview Information, where available.
- Referral Levels to Occupational Health Services.
- Staff satisfaction through the Staff Survey.

6. CONSULTING AND COMMUNICATING WITH STAFF

Clients, premise controller, building users, contractors and sub-contractors (as appropriate) must consult their employees on health and safety matters. Consultation with the trade unions should be through appointed union safety representatives. Trade unions have an important role to play and can provide expertise in health and safety.

Communication with staff is essential. Employees must be informed of any extra precautions or changed procedures as a result of the contract work, for example, changed fire escape routes and escape procedures during the building or renovation projects, and informed of additional risks that

7 SUPPLY ONLY CONTRACTS (contracts only for the supply of goods)

7.1 Prior to order

Ensure that the item required is fit for purpose and meets the appropriate European Standards. All equipment must display a “CE” mark and be supplied with suppliers manual or instructions.

The hire company must provide a valid certificate of inspection appropriate to the equipment supplied. Certificates of inspection are valid for a 12 month period after the last inspection or 6 months for equipment used to lifting personnel. The certificate supplied must be the certificate issued on the last inspection. The certificate must be kept available with the equipment.

Where the equipment may pose a significant risk to employees or others, a risk assessment must be undertaken before the equipment arrives. (For further details please refer to Section 20 Work and Lifting Equipment of the Corporate Health, Safety and Welfare Policy). This should involve the persons who; have knowledge of the building, local environment, existing work practices, worked with the equipment.

7.2 Arrangements for delivery

Person placing order must liaise with Premises Controller to arrange where and how the item is to be delivered, appropriate time for delivery and provide appropriate access.

7.3 Monitoring

Health and safety assessments of supply contractors are not needed unless:

- (a) Reviews of accident/incident reports reveal a problem.
- (b) The officer ordering the item believes there could be a significant danger involved in its supply, delivery and use.
- (c) If subsequent information comes to the Council attention which
- (d) suggests the item is a potential risk.

8. Further Information & Guidance

Further advice and guidance is available from the safety, Health and Wellbeing team or from the Councils intranet which contains Council 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*

[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.

SAFE CONTRACTOR LIST

Barnet Council has a 'List of Safe Contractors' which may be accessed through the Corporate Procurement team. The procedure for admitting a contractor to that list is dependant on the nature of the works, the level of risk and value of the contract, the main criteria being CHAS approved Contractors or completion of the Safety Assessed Questionnaires (appendix 3) and provided evidence that they have met the councils' minimum requirements. If successful the contractor will be added to the list (further information is available from the Safety, Health and Wellbeing team).

Construction and maintenance Contractors must be registered with CHAS The Contractor Health and Safety Assessment Scheme (CHAS) is a national scheme recognised by the Health & Safety Executive. In order to receive a listing the contractor 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 CHAS scheme. It should be stressed that membership of the scheme does not mean that the contractor has the necessary competency to carry out the task and further health and safety evaluation should take place before placing any major contract with an approved contractor.

There may be rare circumstances where the Corporate Procurement team agree to the use of non-CHAS registered contractors for construction or maintenance works. In these situations contract/project managers must ensure those contractors complete the Safety Assessed Supplier Questionnaire and provide method statements, risk assessments, company policies, evidence of sufficient financial resources, evidence of competency, information on previous breaches of legislation and references as deemed necessary.

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 client's project 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.

Safe Code of Practice for Contractors

All contractors must:

1. Comply with the Health and Safety at Work etc Act 1974, other relevant UK Acts and Regulations, supporting Approved Codes of Practice, Guidance and Industry / HSE Guidance Notes / Standards as well as any procedures devised by the Client and brought to their attention.
2. Provide relevant risk assessments and method statements before work commences.
3. Provide evidence and demonstrate that they are competent to carry out work they have been requested to do and be in a position to show that any subcontractor they use is also competent. Client agreement must be obtained.
4. Ensure that their employees are fully trained and their staff will be supervised and made aware of any Client procedures and practices likely to impact on their activities.
5. Be aware of any specific site emergency evacuation procedure.
6. Report any work involving asbestos or dangerous substances to the designated point of contact immediately and stop work until advised otherwise, unless arrangements for this work have been put in place for the work to be done safely by competent persons and licensed where necessary.
7. Ensure that appropriate first aid facilities; first aiders and/or appointed persons are provided, if there is no agreement to use Client facilities.
8. Provide and maintain a safe place of work including safe access to and egress from any segregated site for their own employees, council employees, tenants and members of the public where applicable. Evacuation routes and access to any emergency vehicle must not be blocked.
9. Keep the work area tidy and free from uncontrolled hazards.
10. Behave safely and not partake in any horseplay that may jeopardise health and safety.
11. Not leave any hazardous substance on site unattended or unsecured.
12. Not leave tools, machinery, and vehicles operating on site unattended. Such equipment must be switched off when not required and all keys must be removed so that such equipment cannot be started or operated by any unauthorised person. All equipment left on site overnight must be in a safe condition, secure and immobilised.
13. Not connect into any council provided services (e.g. water, electricity, gas) unless authorised to do so.
14. Ensure that any scaffolding they provide is safe and inspected regularly to comply with legislation. Access to any scaffold by a member of the public or unauthorised person is prohibited.

SAFETY ASSESSED QUESTIONNAIRE
(For inclusion on the Councils 'Safe Contractors List')

It is important to carefully read the following and provide a full response to all the questions. Failure to do so may result in exclusion from the Councils 'Safe Contractors List'. Contractors who are CHAS approved 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 attached Appendix 3a 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.

2. INSTRUCTION & TRAINING

2.1 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.

2.2 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)

3. MONITORING AND REVIEW

Please describe how your company monitors H&S performance including audit and review.

4. CONSULTATION

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

5. ACCIDENT STATISTICS OR ENFORCEMENT NOTICES

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

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

5.2 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).**

6. RISK ASSESSMENTS

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

6.2 Please enclose a copy of your procedure or arrangements for risk assessment

6.3 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.**

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

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

7. CONTRACTORS

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

7.2 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">• General risk assessments• Fire Risk Assessment• Manual handling assessments• Work station assessment (or self-assessment).• COSHH assessments These examples must be specific to work undertaken by your company.	
Example of a completed Method Statement (where applicable)	
Contractor competency assessment procedure	
Completed example of a contractor assessment.	

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

(Registered) Company Name		Company Status (delete where not applicable *)		Public Liability Insurance details	
Registered Address		*Sole trader *Partnership *Limited company *Any holding or associated company.		Insurer Name	
				Certificate No.	
Telephone no.		E-mail		Sum Assured	
Number of Direct employees		Name of person responsible for health and safety		Expiry Date	
Contact name		Type or types of work undertaken by your company		Employers Liability Insurance details	
				Insurer Name	
				Certificate No.	
				Sum Assured	
				Expiry Date	
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. (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).					

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.

Signed:
Position:

Date:

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*	

