

1 Haringey Council Procedure

- 1.1. From time to time the Council employs contractors to carry out a planned programme of maintenance or repairs, to undertake specific work that is outside its area of expertise or to carry out work not normally performed on a daily basis, such as maintenance, repairs, audits, or training. This could involve working on critical process plant and equipment or carrying out non-routine activities where there is a greater potential for harm if their work is not properly managed.
- 1.2. It is important to ensure that contractors are properly briefed on and understand the hazard risks associated with our activities in order for them to be able to work safely and to safeguard the integrity of our plant and processes.
- 1.3. All parties have specific legal health and safety responsibilities that cannot be moved from one party to another. Contractors have clear responsibilities to ensure the health, safety and welfare of their own employees and other people affected by their activities.
- 1.4. The Authorised Officer/Client has responsibility for the control and monitoring of the contractors they employ.
- 1.5. The London Borough of Haringey will ensure Authorised Officers/Clients are competent and are aware of their duties and responsibilities. They will be expected to attend at least half day training in contract management. The training which will be provided through the Health and Safety Team, should be refreshed every 3 years.

2 Scope of Procedure

- 2.1. This procedure applies to all work carried out by any contractor and their subcontractors on behalf of the London Borough of Haringey (LBH), either tendered for or carried out under a works order. Therefore, service contracts management is also governed by the procedure. It will be expected that contractors manage their subcontractors following the principles of this procedure. The exception will be contracts already procured or in place before the approval of this procedure when its application incurs excessive costs for the contractor which cannot be compensated by LBH.
- 2.2. The contract relationship between individual agency staff and the Council is excluded from this procedure.
- 2.3. The CDM Regulations also detail specific requirements for all construction work, for example specific roles and duty holders. The Construction (Design and Management) Regulations 2015(CDM15) define construction work as construction, alteration, installation, maintenance, repair, redecoration, some cleaning work, demolition, removal, and clearance works. Although this procedure also applies to contractors carrying out construction work, this subject is covered by a specific document (HSP04 Construction Design Management).

3 Key Terms & Summary Information

3.1 Key Terms

Competent	Competency is defined as having sufficient knowledge, experience and training in a subject.
Contract	In law, a contract is an agreement between two or more parties which, if it contains the elements of a valid legal agreement, is enforceable by law or by binding arbitration. A contract is an exchange of promises with specific legal remedies for breach.
Contractor	A contractor is a person who has agreed to carry out defined work, on behalf of the council and those to whom work is subcontracted.
Authorised Officer or Authorised Client	The person within the council who is assigned responsibility for overseeing the work of the contractor. They shall be competent as follows: 'having sufficient technical training and/or knowledge and/or practical experience to enable them to carry out allocated duties at the level of responsibility laid down and to understand any potential hazards that might occur during the contract'.

4 Responsibilities for Implementation

4.1 **Directors, Senior Directors and Head Teachers** are responsible for implementing and monitoring compliance with this procedure in their area or school.

4.2 The Authorised Officer or Authorised Client

In controlling the work of contractors, the Authorised Officer/Client's duties and responsibilities include:

4.2.1 Employing a competent contractor. When employing contractors' reference should be made to guidance produced by the Finance Service, including relevant procurement guides.

4.2.2 Ensure the contract specification contains relevant health and safety requirements e.g., commercial GAS Safe registration. For construction contracts, it is recommended to use industry standards e.g. The Joint Contracts Tribunal. The Health and Safety team could also be used for advice on specific standards.

4.2.3 A member of the Health and Safety Team may be present on the evaluation team and initial meeting with the potential contractor to offer advice and support to the contract manager when the contract contains a high degree of H&S risks. For existing contracts, the contract manager may also invite a member of the H&S Team to the annual contract meeting review as required.

- 4.2.4 Providing the contractor with adequate, relevant, and significant information as to the risks associated with the work or the hazards present within the workplace, including emergency procedures.
- 4.2.5 Make sure contractors understand the information, instruction and training provided by the Authorised Officer/Client (or on behalf of the client e.g., building manager), taking account of any language difficulties or disabilities. Information may need to be provided in a language other than English.
- 4.2.6 Ensuring that there are suitable management arrangements in place to monitor the project / works from start to finish e.g., quality and performance. The level of monitoring and control required for each contract will vary depending on the type of work, its complexity, size, duration, and the risks involved.
- 4.2.7 Liaise with the Health and Safety Team whenever required.
- 4.2.8 Respond in writing to the Health and Safety Team if recommendations have been made during the health and safety-monitoring visit.
- 4.2.9 Ensure an appointment is made with the building manager/building management agent (or their representative on site) prior to the contractor attending the site to ensure the timing is convenient and no incompatible activities are being carried out at the same time. This would normally fall onto the contractor's remit if they were provided with the relevant contact details.
- 4.2.10 The authorised officer/client will ensure the building manager/ building management agent is informed as soon as possible about contractor's access for emergency works.
- 4.2.11 Allowing sufficient time and resources.
- 4.2.12 Co-operate and co-ordinate with all parties involved with the contract work.
- 4.2.13 Risk Assessments and Method Statements, (RAMS) and individual competencies of contractors are checked and evaluated by a competent person. This would normally be undertaken at the time they submit RAMS for the different activities they are due to carry out on site. If the authorised officer/client/contract manager is not competent to do so, a competent person must be appointed as part of the contract.
- 4.2.14 Invite health and safety to site meetings during the life of a project when appropriate, such as advice on best practice, accident/incident investigation.
- 4.2.15 Review and audit contractors (every 3 years on a rolling basis) to ensure they are keeping their H&S standards up to date and in line with statutory updates.
- 4.2.16 Maintain an electronic secured repository e.g., in the server, of contractor's documentation provided during the tendering and across the duration of the contract for future reference. Technology Forge is to be used for this purpose when the system is operational.

4.3 Contractors

- 4.3.1 Comply with all relevant and applicable Council policies and procedures, including the rules and information in appendix 1. Contractors may not adhere to Council policies and procedures if their own management systems provide a similar standard.
- 4.3.2 Manage their subcontractors following the principles of this policy.
- 4.3.3 Provide assistance during random monitoring visits from health and safety.
- 4.3.4 Attend sites only by appointment. Making the appointment will fall under the remit of the contractor unless stated otherwise by the authorised officer/client.

- 4.3.5 Sign in and out every time a building is accessed and egressed. ID passes must be displayed whilst on site.
- 4.3.6 Inform the client if different staff are sent after the first day of works.
- 4.3.7 Contractors are required to verify that they have received, read, and understood this procedure prior to any works commencing on behalf of the Council or School.

4.4 Health and Safety Team

- 4.4.1 Attend any pre-tender meetings if requested to do so.
- 4.4.2 Get involved in the contractor selection process if requested.
- 4.4.3 Carry out unannounced and random contract monitoring of project/works with the authority to stop or cordon off works if the situation or activity gives rise to a significant risk of harm.
- 4.4.4 Attend site meetings when required.
- 4.4.5 Review this procedure in light of any legislative changes, incidents or if there are any significant changes to the organisation.
- 4.4.6 Monitoring compliance with this procedure as part of the internal auditing procedure.

4.5 Staff

- 4.5.1 Staff are required to work in a safe manner and adhere to the content of this safety procedure.

5 Planning Works

5.1 Define the job

- 5.1.1 The first step that the authorised officer/client needs to carry out is to answer the questions “What is the job?” and “How can it be done safely?”.
- 5.1.2 Once the job is ascertained, it is necessary to follow the “5 steps to risk assessment” following the corporate document ‘*Risk Assessment Procedure and Guidance*’. The authorised officer/client must consider the tasks to be done and those that may be required in the future e.g., maintenance requirements.
- 5.1.3 At times there may be more than one contractor on site. The authorised officer/client needs to think about how their works may affect each other and how they interact with the authorised officer/client’s normal activities.
- 5.1.4 Contractors have responsibilities for preparing a risk assessment under the Management Regulations for their activities. Their risk assessment should fit in with the authorised officer/client’s and provide adequate information. Likewise, contractors will need information from the authorised officer/client about the job, the state of plant, etc. when preparing their assessment.
- 5.1.5 There will be precautions that are up to the authorised officer/Client, up to the contractor or a joint responsibility. It is necessary to agree in writing who will be responsible for what, depending on the circumstances.

- 5.1.6 Contractors shall also prepare a detailed safety method statement on how they intend to carry out the job so that risks are controlled and managed. This should be based on the risk assessments considering the health and safety of employees and others who could be affected by the work.
- 5.1.7 Where construction or maintenance works falls within the definition of construction in the CDM 2105 regulations a Construction phase plan must be drawn up by the contractor prior to works commencing.

6 Selection of Contractors

- 6.1 The London Borough of Haringey needs to satisfy itself that all contractors and sub-contractors are competent to do the work safely and without risks to health and safety. The degree of competence required depends on the complexity of the work to be done.
- 6.2 The appointment of contractors to undertake building and property maintenance works on properties under the direct management of the Council shall only be authorised by an appropriate appointed person from the Corporate Contract, Commissioning and Client Team or the Project Delivery Team.
- 6.3 To award a contract, the authorised officer/client must follow the Council's procurement rules:
- For contracts relating to works e.g., building, agriculture, etc., membership of a Safety Schemes In Procurement (SSIP) or a similar scheme should be used to ascertain a contractor's general Health & Safety competence. Appendix 3 could also be used, which contains the part of the questionnaire PAS91 (2017) covering H&S provisions and management, but the information provided must then be checked by a competent person.
 - For contracts relating to goods and services e.g., items being delivered, etc., the Contractor Competency Questionnaire (appendix 4), shall be used to initially assess those companies bidding for the contract. Additional questions may be asked as needed.
 - If the client is unsure about the sufficiency of any answers, they should seek advice from the Health & Safety Team.
- 6.4 The authorised officer/client will create a specification for each contract (regardless of size of the work) which clearly identifies all aspects of the work including preparatory work. The specification will incorporate the need for the contractor to produce policies, risk assessments, method statements and communicate information.
- 6.5 The authorised officer/client must consider:
- Experience: working on a similar environment.
 - Cost: without compromising health and safety requirements.
 - Technical competency: to carry out the intended work.
 - Reliability: considering past performance (may include external references).
 - Health and safety: policy, procedures, performance.

6.6 Construction works

- For construction works, the competency of the contractor must be checked by the authorised officer/client during the procurement stage and reviewed every 2 years. The contract manager could also ask competency-based questions in the tender documents which cover any gaps from PAS91.
- The Contractors Health & Safety Assessment Scheme (CHAS), Safety Schemes in Procurement (SSIP) or a similar scheme should be used to ascertain a contractor's general Health & Safety competence. The scheme is based in PAS91. However, the authorised officer/client must still ensure that the contractor has proven experience in the type and complexity of the proposed work.

6.7 Once the preferred bidder has been chosen, evidence (relating PAS91 questionnaire or the Contractor Competency Questionnaire) can be requested for evaluation.

7 Permit to Work

- 7.1 Permits-to-work (PTWs) are an essential part of safe systems of work for high hazard and unusual jobs. They are required if there is a risk of serious injury which cannot be adequately controlled by normal physical safeguards. Permits specify the work to be done and precautions to be taken and provide a clear record that all foreseeable hazards have been considered. A permit to work will be required for:
- Confined spaces
 - Excavation work.
 - In locations where accidental or unauthorised starting of plant may endanger others such as lifts, conveyors, hoists, crane, heating systems.
 - Where toxic fumes may be present or there is insufficient oxygen.
 - Work on fragile roofs and structures.
 - Work at height where there are no guardrails present or when guardrails need to be removed.
 - Where hot works e.g., burning or welding, is required on plant or structures that may result in fire or explosion.
 - Pressure testing.
 - Live working on electrics.
 - This is not an exhaustive list and where a risk assessment identifies the risk level as substantial or intolerable a permit to work must be considered and the decision recorded on the risk assessment form.
- 7.2 The building manager/ building management agent is responsible for approving the permit to work at its various stages. This responsibility will fall onto the authorised officer/client if there is no appointed building manager, the works are not carried out on a building or the building manager deemed themselves not competent to approve such a permit.

8 Subcontractors

- 8.1 The authorised officer/client must satisfy themselves that a contractor has an effective procedure for appraising the competence of a sub-contractor. Those subcontractors should also be members of Contractors Health & Safety Assessment Scheme (CHAS), Safety Schemes in Procurement (SSIP) or a similar scheme to demonstrate their general Health & Safety competence.

9 Emergency Response Work

- 9.1. Emergency Response Contracts are in place for many Council activities and eventualities.
- 9.2. Should an emergency response be needed where no construction contractor has been evaluated, the authorised officer/client should use a contractor registered with a H&S certification scheme (as advised in 6.5.3). If this is not possible, the authorised officer/Client must obtain evidence of the Contractor's competency and reference should be made to the appropriate Assistant Director for direction.
- 9.3. Prior to commencing Emergency Response work, the authorised officer/client or designated representative will discuss the work and the specific hazards with the contractor, to ensure the risks have been assessed and the appropriate controls are in place.

10 Risk Assessments and Method Statements

- 10.1. The London Borough of Haringey Team procuring the contract will have risk assessments for their activities, in accordance with the Risk Assessment Procedure and Guidance.
- 10.2. The contractor must undertake risk assessments for the contracted work and provide safe working method statements outlining specific precautions that will be in place to control the risks identified. In particular they should cover access/egress, segregation of work areas from staff/service users, protection of the public, and any other requirements of the client. The degree of detail required is dependent on the scale and nature of the works to be carried out. Any known or possible hazards must be communicated to the contractor, e.g., the asbestos register and plan. All relevant information shall be passed to the contractor in writing.
- 10.3. Both parties must exchange risk assessments and consider those risks from each other's work that could affect the health and safety of the workforce or anyone else. LBH and the contractor need to agree the risk assessments and the preventative

and protective measures for the contracted work. If sub-contractors are involved, they should also be part of the discussion and agreement.

- 10.4. The authorised officer/client will satisfy themselves that the contractor has implemented all agreed health and safety controls prior to work commencing.

11 Communication, Co-operation, and Co-ordination

- 11.1. The authorised officer/client has responsibilities to ensure co-operation and co-ordination between all parties to ensure the health and safety of all at the workplace and anyone else likely to be affected. The client will set up liaison arrangements with all parties e.g., pre-contract meetings, contract reviews and briefings. All such meetings are to be recorded in writing. The number and extent of meetings will depend on the size and complexity of the work.
- 11.2. All parties need to consider what information should be passed between them and agree appropriate ways to make sure this is done including changes to work and schedules. Clear information should be exchanged about the risks arising from their operations, including relevant safety rules, procedures, and emergency arrangements.
- 11.3. The authorised officer/client and the building manager might not be the same person. In these occasions the authorised officer/client must liaise with the latter about the works that need to be done so the building manager can prepare the necessary arrangements i.e., site induction, local monitoring, asbestos information, permit to works, etc. In locations without an appointed building manager, this responsibility will fall onto the authorised officer/client.
- 11.4. The authorised officer/client must inform staff when a contractor is working nearby and how their activities might affect or interact with the Council staff's activities.

12 Accessing the Site

- 12.1. Contractors must be provided with a site contact, someone to get in touch with on a routine basis or if the job changes and there is any uncertainty about what to do, who will normally be the site manager unless is somebody nominated who is in a managerial position with sufficient authority and competence.
- 12.2. The site contact will go over the job with the contractors:
- Checking what precautions are necessary for any risks involved and whether a permit to work is needed.
 - Ensuring everything necessary has been done.
 - Agreeing further contact, supervision arrangements and a time limit for the job, if appropriate.
- 12.3. If no site contact is nominated, the authorised officer/client will fulfil this role.

13 Monitoring Contractors

13.1 Corporate monitoring

13.1.1 The Health and Safety team, upon request, can complete internal health and safety audits which include reviewing contractor performance, and suggesting actions, if appropriate.

13.1.2 Significant issues from the Health and Safety audits will be communicated to the departmental senior management team. Any actions are discussed and agreed.

13.2. Local level monitoring

13.2.1 The London Borough of Haringey managers, contractors and sub-contractors are responsible for monitoring their own health and safety performance.

13.2.2 Contractors and sub-contractors are expected to carry out regular checks to ensure their work is carried out safely and in accordance with risk assessments and method statements.

13.2.3 The authorised officer/client is responsible for monitoring all works to satisfy themselves that the contractor and any sub-contractors are implementing all necessary health and safety precautions during the contract. The monitoring will be appropriate to the size, duration and complexity of the contract and will examine contractors' compliance with their own construction phase plans, method statements and Council procedures.

13.2.4 The authorised officer/client is expected to review contractors to the level of their general health and safety knowledge and any specific activity knowledge they may have. They are not expected to be an expert in the work activity unless this is part of their competency and job role. For construction projects, contractors must be reviewed by competent persons.

13.2.5 Where monitoring identifies non-compliance with health and safety standards which cannot be immediately rectified, the work should be stopped. Work must not continue until agreement can be reached regarding appropriate control measures.

14 Accidents / Incidents

14.1. Should a work-related accident, disease, dangerous occurrence or near miss take place on the contract, the contractor should record and investigate the incident and report it under RIDDOR if necessary. Details of RIDDOR incidents should be reported to the LBH authorised officer/client and the Health & Safety Team including a copy of the form F2508.

14.2. Following the incident, the contractor shall review the appropriate risk assessment and advise the London Borough of Haringey of any amendments to prevent a recurrence of the incident. If appropriate, the LBH will investigate the incident.

- 14.3. London Borough of Haringey, contractors and sub-contractors will co-operate with investigations and any improvement recommendations will be shared with all parties and the workforce.

15 Key Performance Indicators

- 15.1. The authorised officer/client will state in the contract the agreed KPIs for the specific contract.
- 15.2. The authorised officer/client will monitor the agreed KPIs in the contract document at the established intervals.
- 15.3. As a minimum, every six months all contractors will inform their authorised officer/client of the following core KPIs (related to their contract) by filling in the Contract Monitoring Form (appendix 2):
- 15.3.1 Number of accidents, incidents and near misses and actions taken to prevent recurrence.
- 15.3.2 Events reported to the HSE.
- 15.3.3 Visits from enforcement authorities and their outcome, including remedial action plans.
- 15.3.4 Delivered H&S training specific to their contract.
- 15.4. The authorised officer/client will keep a copy of completed Contract Monitoring Forms for future reference. Record shall be kept:
- 15.4.1 If the contract is signed, for 6 years after the end of the contract.
- 15.4.2 If the contract is sealed, for 12 years after the end of the contract.

16 Health & Safety Performance and Feedback

- 16.1. London Borough of Haringey staff have the responsibility to bring to the attention of the contractors any relevant health and safety issues or concerns in a timely manner. The authorised officer/client and contractor must agree an appropriate timeframe to remedy any issues therein.
- 16.2. Where the authorised officer/client is concerned about the contractor's health and safety performance (despite liaison with the contractor); contact the Health and Safety team for further advice.
- 16.3. If health and safety performance is not brought up to requirements, or where the standard of health and safety performance shows cause for concern, i.e., persistent low performance or where serious or imminent danger has been reported, the authorised officer/client will need to stop the contractor working until requirements

can be met. Also, the authorised officer/client must contact the Health and Safety Team and Corporate Procurement Team.

- 16.4. Serious instances of poor performance could lead to contractors being suspended, or termination of the contract due to persistent failures. Adverse performance would include, but not be limited to areas such as:

- Breach of any health, safety, or environmental legislation.
- Poor quality of work/services/supplies.
- Poor site supervision.
- Poor adherence to the contract specification or timetable for completion.
- Poor control of sub-contractors.
- Poor health and safety and environmental practices.
- Persistent failure to deliver to agreed terms.

The Strategic Procurement Team will offer advice and support during this process.

- 16.5. Both the authorised officer/client and the contractor should meet to review the work after completion to see if performance could be improved in future. This meeting must be recorded (minutes taken).
- 16.6. This record should be retained within the contract file and can be made available on request to the Health and Safety team and Strategic Procurement Team.

17 Specialist Advice

- 17.1 Further advice and assistance on implementing any aspect of this procedure can be obtained from the Health and Safety Team on extension 4589 or by e-mailing health.safetyadvice@haringey.gov.uk
- 17.2 Other council documents to reference which support this safety procedure:
- HSP04 – Construction, Design and Management Procedure

18 Approval of the Procedure

- 18.1 This safety procedure was reviewed by the Corporate Health, Safety and Wellbeing Board and approved by the Council's Head of Organisational Resilience on 24th May 2021. Any required variations from this safety procedure should be brought to the attention of the Council's Head of Organisational Resilience.

Approved by (print name): Andrew Meek

Signature: 

Date: 24.05.2021

Appendix 1 – Rules and Information for Contractors

1. Safety & Emergency Contacts

Corporate Landlord: 020 8489 5786/ 4970 or Corporate.Landlord@haringey.gov.uk

Health and Safety Team: 020 8489 4589 or Health.SafetyAdvice@haringey.gov.uk

FM Helpdesk: 020 8489 8430 or Corporate.landlord@haringey.gov.uk

2. Security and Crime Reporting

All contractors must at all times comply with the instructions or requirements of the security team or authorised officer. Identification badges provided by the council must be worn at all times when working in council premises or undertaking work on behalf of the council.

If a contractor employee is subject to or witnesses a crime while working on behalf of Haringey Council, the incident must be reported to the authorised officer. The contractor is responsible for reporting the incident to the local police (to get a crime reference number).

Contractor's employees are responsible for the security of their personal possessions and work equipment.

Haringey Council reserves the right to search personnel and vehicles on their premises for security purposes.

3. Hazardous Substances

3.1 Asbestos

Asbestos is known to be present in a number of buildings. It is therefore essential that you understand the risk posed not only to you, but others who may be affected by your work activities. You must:

1. ask the authorised officer or building manager to show you the current asbestos register for the building, so you may ascertain where asbestos is suspected or has been identified and complete the Pre-work Commencement Confirmation of ACMs.
2. not disturb any asbestos or suspected asbestos containing material unless you are in possession of a permit to work allowing such activity.

3.2 Flammable Substances and Materials

There are many materials that are classed as combustible, flammable or highly flammable, which present varying degrees of fire risk. It is important that your risk assessments adequately reflect the use of these materials and you share a copy of these with the authorised officer in advance of bringing such materials into a Haringey Council building.

3.3 Other Substances Hazardous to Health

Substances hazardous to health include those that are toxic, corrosive, harmful and irritant. It is essential that assessments as required under the Control of Substances Hazardous to Health Regulations have been undertaken for these substances relevant to the manner in which they are to be used on Haringey Council premises. Appropriate controls shall be in place to minimise any risks associated with the use of such substances to a tolerable level.

3.4 Compressed Gas

Certain contractors will on occasions need to bring compressed gas cylinders onto Haringey Council premises. This should only be done with permission in advance from the authorised officer. A risk assessment should also be provided to the authorised officer in advance of bringing compressed gas onto any premises. The assessment should detail the controls to be implemented to minimize risk during transportation, storage and use of the compressed gas. Working with compressed gasses on Council properties must be accompanied by a safe system of work (SSW).

4. Waste materials

Waste material generated from the work undertaken on behalf of Haringey Council, shall be removed from any premises daily by the contractor, unless agreed prior to commencement of work with the authorised officer.

Materials left on the premises without prior approval will be disposed of by Haringey Council. The cost of such removal will be charged to the contractor.

5. Contractor's Personnel

The Contractor shall ensure employees:

- properly perform their duties in accordance with the Service Specification.
- are sufficiently trained and instructed with regard to all relevant policies, rules, procedures, and standards of the contractor.
- are sufficiently trained, instructed and assessed to meet the common induction standards of the contractor.
- are sufficiently trained and instructed with regard to all relevant rules and procedures concerning health and safety at work legislation.
- are sufficiently trained and instructed in the use of any specialist equipment required for the delivery of the services.
- deliver the services in accordance with Best Industry Practice and with all due skill, care and diligence and shall possess such qualifications, skills and experience as are necessary for the proper delivery of the services.
- at all times are appropriately attired for the duties they are undertaking, including (where necessary) wearing personal protective clothing and footwear.
- shall on request, disclose their identity to council staff or any Third Party whilst on council premises.

- shall act in a courteous and considerate manner and do not use foul or offensive language, bring offensive materials into, consume intoxicating liquor, take illegal drugs, or smoke whilst on premises when delivering the services.
- shall not bring animals, or unauthorised persons onto the premises, except as expressly authorised by the council's authorised officer.

Contractors are responsible for ensuring that their employees are not suffering any medical conditions that would expose themselves or others to unacceptable risk from performing the work activities to which they have been assigned.

Contractor's employees suffering from a 'notifiable disease' must not be allowed to work or attend work for Haringey Council until clearance is given by their GP. The following are notifiable under the Food Safety Act 1990 as amended:

Dysentery	Food Poisoning (or suspected)
Typhoid	Paratyphoid
Salmonella Infection	Staphylococcal Infection

Other diseases would include: Cholera, Jaundice, Tuberculosis, Typhus Fever. This list is not exhaustive.

6. Contractor Equipment

Where contractor equipment is to be installed or used by the contractor, they shall ensure that the equipment is installed in accordance with the manufacturer's specifications or requirements and shall verify that the equipment operates or functions in accordance with such specifications or requirements.

Where the manufacturer specifies that tests are required to be undertaken before use, the contractor shall undertake such tests in accordance with such testing specifications, to ensure the equipment has been installed with and operates in accordance with the manufacturer's specifications.

All equipment and materials owned by or hired or leased by or on loan to the contractor (other than that provided by the Council) and used in the delivery of the services shall be serviced and maintained by the contractor in accordance with the manufacturer's recommendations and in any event such that the equipment is in a condition suitable for use in the delivery of the services. Where appropriate, the provider shall ensure that where there is a statutory duty or other obligation to undertake testing of the equipment, such testing is carried out by suitably qualified and competent persons at regular intervals, and adequately documented.

Appendix 2 – Contract Monitoring Form

Incidents	Information
<ul style="list-style-type: none">• Number of accidents (with injury)	
<ul style="list-style-type: none">• Number of incidents (no injury)	
<ul style="list-style-type: none">• Number of near misses	
Events reported to the HSE (e.g., accidents, dangerous occurrences, etc.)	
Visits from enforcement authorities and their outcome, including remedial action plans	
Delivered H&S training specific to their contract	
Other (as stipulated in contract):	
Other (as stipulated in contract):	

Appendix 3 – PAS91 (H&S part)

Table 4 – Core Question Module C4: Health and safety: policy and capability

Q Ref	Exemptions and pertinent question selection	Exemption(s) Claimed	
		Please tick I and /or II for C4-Q1-1a, b and /or c, as appropriate, and for I, also state the CDM duty holder role(s) for which exemption is claimed	Supplier's unique reference to certificates or other supporting information
C4-Q1	<p>In the circumstances set out in C4-Q1-1a) to C4-Q1-1d), if your organization meets the relevant criteria in respect of exemption categories i) and/or ii) below:</p> <ul style="list-style-type: none"> i. one or more of the following CDM duty holder roles: contractor, principal contractor, designer, principal designer; ii. general health and safety: policy and capability; <p>and you can provide the supporting information to evidence this, the following exemptions apply:</p> <ul style="list-style-type: none"> • for an exemption under i) or ii) above: questions C4-Q2 to C4-Q11 need not be completed • for an exemption under i) above questions C4-Q12 to C4-Q22 also need not be completed in respect of the role(s) identified. <p>If you are not claiming an exemption, please move to question C4-Q2.</p> <p>However, if you are claiming exemption(s), but such exemption(s) does not cover all the categories/roles relevant to your application, please:</p> <ul style="list-style-type: none"> • complete questions C4-Q12 to C4-Q22 in respect of each relevant category/role not covered by an exemption; and • provide any additional information required for C4-Q2 to C4-Q11 in respect of relevant categories/ roles that are not covered by an exemption.* <p>NOTE *Additional information to that relevant to the exemption(s) claimed could be required to demonstrate satisfactory organization and arrangements appropriate to the categories/ roles not covered by such exemption(s).</p>		

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Circumstances of exemption					
	C4-Q1-1a) You have, within the last twelve months, successfully completed a prequalification application undertaken by an assessment provider able to demonstrate that its information gathering process is equivalent to that of PAS 91.	For i) <input type="checkbox"/> CDM duty holder role(s) claimed. For ii) <input type="checkbox"/>			
	C4-Q1-1b) You have, within the last twelve months, successfully met the assessment requirements of a construction-related scheme in registered membership of the Safety Schemes in Procurement (SSIP) forum (see Annex D).	For i) <input type="checkbox"/> CDM duty holder role(s) claimed. For ii) <input type="checkbox"/>			
	C4-Q1-1c) You hold a certificate of compliance with BS OHSAS 18001 (or equivalent) issued by a Conformity Assessment Body accredited to provide conformity assessment services to that standard, ¹ e.g. accredited by UKAS.	For i) <input type="checkbox"/> CDM duty holder role(s) claimed. For ii) <input type="checkbox"/>			
Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q2	Are you able to show that you have a general policy and an organization which is responsible for ensuring effective health and safety (H&S) management?	Evidence of periodically reviewed general H&S policy, signed and dated by a senior person within the organization. The H&S policy should also contain the organization and arrangements. These should be relevant to the anticipated nature and scale of activity to be undertaken, and set out responsibilities for H&S management at all levels in the organization. <i>(Organizations with fewer than 5 employees, see Note 4 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q3	Are you able to show your arrangements for ensuring that your H&S measures are effective in reducing/ preventing work-related incidents, occupational ill-health and accidents?	Details of the arrangements for H&S management that are relevant to the anticipated nature and scale of activity to be undertaken, and how these arrangements are communicated to workers. <i>(Organizations with fewer than 5 employees, see Note 4 to this Table)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q4	Do you have ready access to competent H&S advice/assistance?	Evidence of how your organization has ready access to competent H&S advice, for both general health and safety and, for CDM duty holders, construction-related health and safety. <i>(Access to competent in-house advice, in whole or part, is usually preferred. It is essential that H&S advisor(s) are able to provide general H&S advice and that, for CDM duty holders (from the same source or elsewhere) advice on relevant construction H&S issues is accessible as required.)</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q5	Do you have a process for providing your employees/other workforce with training and other information appropriate to the activities that your organization is likely to undertake?	Evidence that your organization implements relevant training arrangements to ensure that employees/other workforce have sufficient skills and understanding to discharge their various duties. This should include refresher training on relevant good H&S practice and, for CDM contractors and principal contractors, Construction Phase Plans (CPP) may be used to show how information is disseminated or communicated on-site <i>(see note 5 to this Table)</i> .	<input type="checkbox"/>	<input type="checkbox"/>	

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Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q6	Do your employees/other workforce have H&S and other relevant knowledge, experience and skills to carry out activities that your organization is likely to undertake?	Evidence that your employees/other workforce have suitable knowledge, experience and skills for the activities assigned to them, unless there are specific situations where they need to work under competent control and/or supervision (e.g. apprentices and other trainees).	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q7	Do you check, review and, where necessary, improve your H&S performance?	Evidence that your organization has an effective, ongoing system for monitoring H&S procedures, and for periodically reviewing and updating that system as necessary.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q8	Do you have procedures for involving your employees/other workforce in the planning and implementation of H&S measures?	Evidence that your organization implements a means of consulting with its employees/other workforce on H&S matters and how comments, concerns or complaints submitted by employees/other workforce are taken into account.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q9	Do you routinely record and review accidents/incidents and undertake follow-up action?	Evidence that your organization maintains records of all RIDDOR-reportable (see note 6 to this Table) and other incidents for at least the last three years. Evidence that your organization has an effective system for reviewing significant incidents, and recording any resulting action taken (including your response to any H&S enforcement activity).	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref.	Question	Example of the type of information in support of responses, which will be taken into account in assessment	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q10	Do you have arrangements for ensuring that your suppliers also apply H&S measures that are appropriate to the activities that your organization is likely to undertake?	Evidence that your organization implements arrangements for ensuring and monitoring H&S skills, knowledge and experience, and performance, throughout your entire supply chain, appropriate to the work likely to be undertaken.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q11	Do you operate a process of risk assessment, capable of supporting safe systems of work?	<p>Evidence that your organization implements procedures for carrying out relevant risk assessments and for developing and implementing safe systems of work ("method statements").</p> <p>Please provide indicative examples, which must include: the identification and control of any significant occupational health (not just safety) issues, appropriate to the work likely to be undertaken. (Organizations with fewer than 5 employees, see Note 4 to this Table)</p> <p>NOTE Risk assessments should focus on, and be proportionate to, the risks arising from the type of work to be undertaken. The need to reduce documentation requirements on micro-businesses in particular should be taken into account by buyers and assessment providers. Excessive bureaucracy associated with prequalification assessment can obscure the real H&S issues to be considered, and even divert effort away from them.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

C4-Q12	CDM duty holder related question selection: The questions asked in C4-Q13 to C4-Q22 (in conjunction with questions C4-Q2 to C4-Q11) are appropriate for particular construction duties and have been colour coded accordingly to assist identification. Please indicate below which duty (or duties) best describes your organization's activity and then only provide responses to the questions colour coded to the duty (or duties) you have selected. <i>NOTE The questions refer to duty holders under the Construction (Design and Management) Regulations 2015, which defines the scope of "construction" activity. If your organization potentially fills more than one role (e.g. "Design and Build"), please provide responses to the questions applying to all relevant duty holder roles (e.g. Designer and Principal Contractor)</i>			
	CDM DUTY HOLDER ROLE(S) IDENTIFIED <i>Please respond "yes" or "no" to each role identified below</i>			
	<i>NOTE 1 If none of the duty holder roles identified below are relevant, you do not need to respond to any of questions C4-Q13 to C4-Q22</i> <i>NOTE 2 Principal contractors will also need to respond to questions applicable to contractors, and principal designers will also need to respond to questions applicable to designers</i>		YES	NO
	C4-Q12-a) Contractor/principal contractor (respond to grey shaded questions C4-Q13 to C4-Q16)	<input type="checkbox"/>	<input type="checkbox"/>	None required
	C4-Q12-b) Principal contractor (in addition to C4-Q13 to C4-Q16 also respond to yellow shaded question C4-Q17)	<input type="checkbox"/>	<input type="checkbox"/>	
	C4-Q12-c) Designer/principal designer (respond to red shaded questions C4-Q18 to C4-Q19)	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q12-d) Principal designer (in addition to C4-Q18 to C4-Q19 also respond to green shaded questions C4-Q20 to C4-Q22)	<input type="checkbox"/>	<input type="checkbox"/>		

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q13 Contractor/ principal contractor	Do you have arrangements for co-operating and co-ordinating your work with others (including other suppliers, notably contractors)?	Describe how co-operation and co-ordination of the work is achieved in practice, and how any other organizations are involved in drawing up method statements, etc. including response to emergency situations. This should include how input from your suppliers will be taken into account, and how external comments, including any concerns or complaints, will be responded to. This may include CPPs.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q14 Contractor/ principal contractor	Do you have arrangements for ensuring on-site welfare for your employees/other workforce?	Describe how you ensure suitable welfare facilities for your employees/other workforce are in place before starting work on site, whether provided by a site-specific arrangement with others, or your own measures. This may include CPPs.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q15 Contractor/ principal contractor	Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?	Examples of actual knowledge, skills and experience within your organization. This may include: NEBOSH Construction Certificate; membership of Association for Project Safety; membership of Institution of Construction Safety; SSSTS; SMSTS (e.g. provided in a skills matrix for key personnel)	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q16 Contractor/ principal contractor	Do you review and develop your effectiveness in the contractor/ principal contractor role?	Evidence that your organization implements an ongoing system for monitoring performance, including post-project review.	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q17 Principal contractor	Do you implement arrangements to meet the 'principal contractor' duties under the Construction (Design and Management) Regulations 2015?	<p>Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal contractor. In particular, provide evidence of how you:</p> <p>C4-Q17-1 Plan, manage, monitor and coordinate H&S in the construction phase, including communication with the client, principal designer and contractors;</p> <p>C4-Q17-2 Prepare, review and maintain CPPs;</p> <p>C4-Q17-3 Organize co-operation between contractors and others, and coordinate the work;</p> <p>C4-Q17-4 Ensure relevant and suitable site inductions;</p> <p>C4-Q17-5 Provide information for the H&S file.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q18 Designer/ principal designer	Do you implement arrangements to meet the 'designer' duties under the Construction (Design and Management) Regulations 2015?	<p>Evidence showing how you address C4-Q18-1 to C4-Q18-4 below.</p> <p>Provide relevant examples showing how risk was reduced through design.</p> <p><i>NOTE Emphasis should be on practical, proportionate measures that address significant risks arising from designs for relevant construction, not on lengthy documentation about generic risks.</i></p> <p>C4-Q18-1 Check that the client is aware of their duties</p> <p>C4-Q18-2 Ensure that you and your workforce have the necessary skills, knowledge and experience to discharge their legal duties under CDM 2015?</p> <p>Provide relevant evidence of:</p> <ul style="list-style-type: none"> • your CPD programme and/or examples of training and development plans (which may include in-house training). • your relevant qualifications, e.g. membership of a professional institution such as CIAT; CIBSE; ICE or RIBA. • how you maintain your technical knowledge and understanding of construction design. <p>C4-Q18-3 Ensure significant risks are eliminated by design, taking account of the principles of prevention and show how construction and lifecycle risks are eliminated or controlled (with reference to buildability, maintainability and use).</p> <p>C4-Q18-4 Effectively manage design changes, with regard to ensuring H&S during and post-completion.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q19 Designer/ principal designer	Do you review and monitor your design performance, notably in relation to H&S?	Evidence that your organization implements an ongoing system for monitoring H&S design procedures and for reviewing and updating that system as necessary, e.g. through project design review (during and post-completion).	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q20 Principal Designer	Do you implement arrangements to meet the "principal designer" duties under the Construction (Design and Management) Regulations 2015?	<p>Concise, practical examples, relevant and proportionate to the type of activity likely to be carried out, of how your organization meets the requirements of principal designer. In particular, evidence of how you:</p> <p>C4-Q20-1 Help the client to meet its duties under CDM 2015</p> <p>C4-Q20-2 Gather, prepare, communicate and coordinate information, including design information, with other duty holders during the pre-construction phase</p> <p>C4-Q20-3 Plan, manage and monitor health and safety-related information, including design information, in the pre-construction phase of a project, with the aim of identifying, eliminating or controlling foreseeable risks;</p> <p>C4-Q20-4 Ensure designers carry out their duties, including oversight and co-ordination within the design team and with other designers/contractors;</p> <p>C4-Q20-5 Liaise with the principal contractor;</p> <p>C4-Q20-6 Prepare and provide relevant information to other duty holders, including the H&S file.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

Table 4 – Core Question Module C4: Health and safety: policy and capability (continued)

Q Ref	Question	Example of the type of information in support of responses, which will be taken into account in assessment.	YES	NO	Supplier's unique reference to relevant supporting information
C4-Q21 Principal designer	Are you able to provide evidence of the skills, knowledge and experience of H&S in construction in your organization?	Examples of actual skills, knowledge and experience. This may include validated CPD, and typical additional qualifications. <i>For example, a member of the registers administered by the Association for Project Safety or the Institution of Construction Safety (formerly known as the CDM co-ordinator's register), or the ICE construction health and safety register.</i>	<input type="checkbox"/>	<input type="checkbox"/>	
C4-Q22 Principal designer	Do you review and develop your effectiveness in the principal designer role?	Evidence that your organization implements, an ongoing system for monitoring performance, including post-project review.	<input type="checkbox"/>	<input type="checkbox"/>	

NOTES TO TABLE 4

NOTE 1 Assessors should not request unnecessary paperwork and may not necessarily require evidence of all the examples in column 3 of Table 4. Suppliers (including contractors, consultants and others) should only be required to produce enough evidence to show that they meet the relevant criteria, taking account of the nature of activities/projects likely to be involved, and the hazards and risks. This requires assessors to make a judgement as to whether the evidence provided meets the standard to be achieved. If that judgement is reasonable, and clearly based on the evidence requested, assessors cannot be criticised if the supplier they appoint subsequently proves not to have the necessary capability (essential knowledge, skills and experience) when carrying out the activity.

NOTE 2 For suppliers that will be CDM duty holders – The core questions in Table 4 align with legal requirements on the relevant duty holder under the Construction (Design and Management) Regulations (CDM 2015).

NOTE 3 For suppliers that will be CDM duty holders – Asking the questions in Table 4 does not remove the buyer's requirement to make further enquiries about the supplier's H&S capability, as required for specific projects, services or other activities.

Stage 1: An assessment of the supplier's organization and arrangements for H&S, to determine whether these are sufficient to enable the supplier to carry out the activity safely and without risk to health. Stage 1 assessments assess the general (basic) capability of the supplier and are within the scope of PAS 91.

Stage 2: Stage 2 assessments are outside the scope of PAS 91*. They involve an additional assessment of the supplier's experience, technical capability and track record, to establish that: it is capable of carrying out the actual construction activity/project required (i.e. project, activity or service-specific enquiries), and notably in relation to higher hazard activity; that the supplier recognizes any limitations and how these should be overcome; and appreciates the hazards associated with the activity and how the risk should be effectively controlled.

*Stage 2 assessments follow Stage 1 enquiries and they should not therefore be asked in relation to PAS 91 (although in the public sector only, stage 2 questions relating to previous experience will be asked in the prequalification questionnaire – if required by law).

NOTE 4 If a supplier has fewer than five employees it is not legally required to write down its general policy, organization or arrangements. However, it does need to be able to show that its arrangements are adequate in relation to the type of activity likely to be undertaken.

NOTE 5 Relevant and proportionate CPPs are required for 'construction work' covered by CDM 2015. CPPs need only be proportionate to the nature of the activity likely to be undertaken.

NOTE 6 RIDDOR: The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.

Appendix 4 – Contractor Competency Questionnaire

This questionnaire could be used to help the authorised officer/client in selecting competent goods or service contractors in relation to their health and safety. It could also be used by contractors to evaluate the competency of their subcontractors in relation to their health and safety.

A. GENERAL

1. Registered Company Name & Company Registration No.	
2. Address Telephone Email	
3. Your company's main types of work	
4. Total number of your directly employed staff	
5. Name & contact details of your Director responsible for Health & Safety	
6. Name & contact details of your competent health & safety advisor	
7. Please confirm that you hold and will continue to hold on an annual basis, adequate Employer's, and Public liability insurance cover.	YES/NO

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B. COMPETENCE – EXPERIENCE, KNOWLEDGE, TRAINING

1. Please provide details if a member of Trade Associations or Health & Safety organisations	
2. Please describe sources you use to obtain health & safety information	
3. Please list the type of technical and health and safety training given to staff	
4. Please confirm that you hold all legally required qualifications, documentation, and certification for the work you will undertake e.g., electrical testing, LOLER, Pressure systems etc.	YES/NO

C. HEALTH & SAFETY MANAGEMENT

1. Please confirm whether you have a health and safety policy which has been reviewed and signed in the previous 2 years. Please attach a copy. If you have less than 5 employees and no H&S Policy, please advise your H&S arrangements:	YES/NO Copy attached / Not attached Arrangements attached
2. Please outline the main hazards that are likely to occur in the course of your work.	
3. Do you have written risk assessments? If so, please provide an example related to the work you will undertake on this contract.	YES/NO Copy attached / Not attached
	YES/NO

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4. Do you have safe working procedures (or safety method statements) developed from the significant findings of your risk assessments? If so, please provide an example related to the work you will undertake on this contract.	Copy attached / Not attached
5. Do you have a process in place for reporting accidents internally and under The Reporting of Injuries, Diseases & Dangerous Occurrences Regulations (RIDDOR)?	YES/NO
6. Have you received any enforcement notices or prosecutions served on your company in the last three years? If yes, attach copies and details of corrective action taken.	YES*/NO Copies and corrective actions attached
7. Have you had any fatalities or major injuries in the last 3 years? If so, please provide details?	YES*/NO Details attached
8. Please detail any health and safety monitoring system you have in place such as safety inspections and audits.	
9. How do you consult with your workforce on health & safety matters?	
10. How do you ensure co-operation and co-ordination with other contractors?	

D. CONTRACTOR'S DECLARATION

Please sign below to confirm that the above information is true and correct, and that you will inform us should any of the above details change

Name of contact and position	
Signature:	Date

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E. MANAGER'S COMPETENCY CHECK

I confirm that the information provided indicates that the Contractor is competent to carry out the work requested.

Name of manager and position	
Signature	Date:
	Review date (every 2 years):

* Note to contract manager: If any notices, prosecutions, fatalities, or major injuries, refer questionnaire to Health & Safety Team for review.