ESS Health & Safety Arrangements
Management of Contractors (Including Consultants)

**Distribution:** This document must be brought to the attention of all ESS Managers and Employees responsible for engaging contractors to carry out work on behalf of Newcastle University Estate Support Service.

This information can be made available electronically, or in large print should it be required, please contact the Health, Safety and Business Continuity Manager Officer on 0191 208 6847

1.0 Introduction

ESS have set the following standards to assess competence and monitor the health and safety performance of contractors (and subcontractors) working on behalf of Newcastle University to ensure that the health and safety of staff, students and others is not adversely affected.

2.0 Stage 1 Assessment of Contractors

All ESS employees engaging contractors must ensure that before a contractor is awarded work they have successfully passed Stage 1 (and Stage 2 Assessments where necessary) and have obtained from the contractors evidence of appropriate insurance cover such as but not limited to Employee/Public Liability and Contract Works insurance where relevant. (Liaise directly with Kelly Lovelock, Insurance Officer for further advice and provide copies of same).

2.1 Assessment of contractor health and safety management systems.

This is done in one of two ways:

1. Using a third party to carry out assessments on behalf of ESS, namely the Contractors Health and Safety Assessment Scheme (CHAS) or another Safety Scheme in Procurement (SSIP). **Note:** Contractors must be listed as compliant.

2. Assess the contractor's health and safety management system yourself using the ESS Internal Contractor Health and Safety Assessment forms A (contractors with more than 5 employees) or form B (contractors with fewer than 5 employees).
Once a contractor has successfully completed this assessment process they can be employed to work for the University providing they have worked for the university previously.

Where contractors have successfully completed Stage 1 of the assessment process but have not worked for the university previously then a Stage 2 competency assessment (below) must be carried out.

**Stage 2. Assessment of Contractor Competency**

It is essential that contractor’s competency is assessed specifically for the type of work they are going to carry out.

**Competency assessment is achieved by:**

- Requesting and reviewing risk assessments/method statements specific to the type of work that is to be undertaken.
- Requesting examples of similar work carried out previously by the contractor.
- Requesting and considering training records of staff that will be carrying out the work.
- Requesting references.

**Important:** A record of all information supplied by the contractor be kept in the project file/building information file.

Once a contractor has successfully completed Stage 1 and Stage 2 assessments they can be employed to work for the university.

**3.0 Contractor induction**

It is a legal requirement that all contractors be provided with a health and safety induction prior to them commencing work on our site.

The purpose of the induction is to ensure that the contractor is aware of university rules, hazards present on site, emergency procedures and safety critical arrangements associated with the work they are doing, or the location they are to be working in.

The university is a large and complex site with hundreds of contractors visiting on a weekly basis, ESS have developed systems for carrying out health and safety inductions, they are:
3.1 **Major Projects**

“Major Projects” are defined as those whereby a specific site is defined and set up and management procedures for the site are in place.

The Principal Contractor will incorporate the requirements of the university’s health and safety induction into their own induction process.

For security purposes all Principal Contractors must ensure that their staff (and subcontractors) are easily identified as being authorised to work on site, this will be achieved by contractors issuing identification badges eg adhesive paper badges that must be worn at all times when on site and by ensuring contractors wear corporate workwear/personal protective equipment eg Hi Vis displaying the contractors logo etc

3.2 **Day Works/Frequent Visitors**

“Day Works/Frequent Visitors“ are defined as when a contractor attends to do work that has no site set up or management procedures or a contractor has carried out work on a Major Project but is returning to carry out snagging after practical completion.

The ESS Contractors Health and Safety Induction booklet is used to complete the process.

The booklet has been developed to raise awareness of the site rules, hazards and risks present at the University.

While information contained in the booklet is quite general it directs contractors to various sources of information and/or university employees that will provide permission/specific advice about working in areas of risk e.g. laboratories/plant rooms etc

The booklet is given to contractors and they are requested to ensure all employees understand the information contained within the booklet and are aware of what they must do when visiting a Newcastle University site.

Contractors are also requested to ensure that all employees have completed the **Induction Assessment and Application Form** (at the rear of the booklet). The completed form must then be scanned and sent with an electronic passport style photograph to esscontractor@ncl.ac.uk.

Once the completed Induction Assessment and Application Form and photograph has been received the contractor will be added to the contractors data base and formally authorised to work on site by return email.
When contractors (inducted and authorised) to attend site and commence work they must log in at ESS reception in the Agriculture or Barras building, complete the contractor log in book and complete a contractor identification badge that must be worn at all times whilst on site.

**Important:** Contractors must also ensure that they log into and check the university’s asbestos register for the area of the building they will be working in.

3.2.1 **Accommodation and Satellite Sites (Day Works)**

When contractors (inducted and authorised) attend site to commence work they must log in at reception, complete the contractor log in book and complete a contractor identification badge that must be worn at all times whilst on site before checking the asbestos register for the building they are working in.

**Important Note:** If there is not a manned reception or office at the accommodation/satellite site then contractors must log in and check the asbestos register at the Agriculture Building or Barras Building.

4.0 **Monitoring contractors health and safety performance**

ESS employees are required to monitor contractor’s health and safety performance to ensure the work is being carried out safely and in accordance with legislation, site rules, risk assessments and method statements.

**ESS monitors contractor health and safety performance in several ways:**

4.1 **Informal**

The ESS employee responsible for bringing a contractor to site is expected to monitor contractor’s performance when going about their normal duties and intervene if they see unsafe activities. ESS employees must make a record of any interventions they and address issues with the contractor’s management team.

All ESS staff should be vigilant when on campus, in the event they see something they believe is imminently dangerous they should intervene to stop it before reporting the issue to the ESS person responsible for bringing the contractor to site.

**Important Note:** Unless in an emergency University staff and students must not enter a contractor managed site either external to or within a building unless authorised the ESS employee managing the works and staff have been inducted.
4.2 Peer reviews

Staff will carry out peer reviews of one another’s works and share knowledge across the teams.

4.3 Construction sites lasting more than four weeks

All sites lasting more than a month will be inspected at four week intervals, copies of reports must be sent to the Head of Service and the Health, Safety and Business Continuity Manager.

Arrangements must be made to enable inspections to be carried out through the ESS employee managing the works for ESS Managers, the contractor or their agent (consultant).

5.0 Imminent and serious risks to health and safety, repeated contravention of site rules misconduct eg not logging in, not wearing PPE, smoking, parking, not checking the asbestos register etc.

ESS staff reserve the right to suspend work activities that present an imminent and serious risk to health and safety. The suspended work activity cannot recommence until such time as the ESS person responsible for engaging the contractor is satisfied that suitable remedial action has been taken to control/manage the risk or address repeated contravention of site rules.

Depending on the significance of the incident ESS staff may issue:

- a yellow card (warning, if conditions do not improve further action will be taken) the yellow card will take the form of a standard email that will be sent by the ESS person responsible for engaging the contractor to site. A copy of the yellow card email will be sent to the Head of Service, Director of ESS and ESS Health Safety and Business Continuity Manager.

- a red card (prohibition requiring the contractor cease work and leave site, subject to a formal investigation being carried out) the red card will take the form of a standard email that will be sent by the person responsible for engaging the contractor to the contractors lead for the project. A copy of the red card email will be sent to the Head of Service, Director of ESS and ESS Health Safety and Business Continuity Manager. **Note:** The element of work served by the red card must not recommence until the ESS person responsible for the work is satisfied that everything has been addressed and that it is safe to allow work to start.
6.0 **Disciplinary Protocols/withdrawal of a contractor’s right to tender/undertake work for the organisation.**

The ESS Health and Safety Management Group will monitor contractor’s health and safety performance. If a contractor is observed to be repeatedly working in an unsafe manner a report will be taken to the Group for review.

**The group will jointly decide the course of action to be taken:**

- ESS may write to the contractor requesting they investigate and explain in writing what action is proposed to prevent further occurrence.

- The contractor may be invited in to explain to a panel (made up from the Group) what went wrong and what course of action they propose to prevent further occurrence.

- Following a full investigation and where necessary having taken legal advice a contractor may be suspended from working for ESS for a period of time to be agreed by the group. **Note:** Contractors have the right to appeal any suspension and make representations to ESS SMT.
A Contractor (or Consultant) is required to carry out work

Has the Contractor had a competency assessment? eg is the contractor accredited with CHAS (or another SSIP?)

Yes

Engage the contractor to carry out works

Make arrangements to have the contractor complete the ESS Contractor induction. Major Works request the contractor includes the ESS Contractor induction within their own induction

Request and review risk assessments and method statements for the work. Major Works request and review the Construction Phase Health and Safety Plan.

Note: If the risk assessments and method statements or Construction Phase Health and Safety Plan provided are/is not adequately developed to manage risks then work must not start until issues have been addressed

Monitor Contractor performance

No

Request advice from ESS Health and Safety Team