

ESS Health & Safety Arrangements Management of Contractors

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's Estate Support Service.

This information can be made available electronically, or in large print should it be required, please contact ESS Health and Safety Officer by telephoning 0191 222 6847

1.0 Introduction

All contractors engaged to carry out work on behalf of Estate Support Service are obliged to comply at all times with the requirements of the Health & Safety At Work Act and all other relevant Acts, Orders, Regulations, Approved Codes of Practice and Guidance.

Estate Support Service have set the following standards to assess and monitor the health and safety competency and performance of contractors working on behalf of the organisation to minimise risks to university employees, students and all other persons on site.

All contractors undertaking work on behalf of the University must have their health and safety management systems and competency assessed and approved prior to them commencing work.

2.0 Stage 1 Assessment of Contractors

All ESS employees engaging contractors must ensure that before any contractor is awarded any work they have successfully passed Stage 1 and Stage 2 Assessments and that they have the necessary employee and public liability insurance.

All ESS employees must make sure they are satisfied that the contractor is competent and capable of carrying out the work safely.

2.1 Assessment of the contractors health and safety management systems

This is done in one of two ways:

1. By using a nominated third party to carry out the assessment on ESS's behalf, namely the Contractors Health and Safety Assessment Scheme (CHAS). Note: The Contractor must be considered to be compliant and registered with CHAS or be a CHAS accredited company. Alternatively CDM coordinators can provide this service for specific contracts.

2. By assessing the contractor's health and safety management system yourself using the ESS Internal Contractor Health and Safety Assessment forms A or B. **Form A** is used to assess contractors that employ five people or more, **Form B** is used to assess smaller contractors that employ less than five employees.

Once a contractor has successfully completed this assessment process they can be entered on to the Contractors Approved List as having done so. Note: they cannot be awarded any work until their competence for the type of work they want to do has been confirmed. (see 2.2 below)

Stage 2. ESS Contractor/Consultant Competency Assessment. Note. this Assessment can also be used to assess consultants

Once you have established that a contractor has satisfies Stage 1 of the assessment process it is important to ensure that they have the necessary competence required to undertake specific types of work. To do this you must use the **ESS Contractor/Consultant Competency Assessment Stage 2 Form.**

The competency assessment is achieved by:

- Requesting and reviewing method statements specific to the work that is to be undertaken.
- Requesting and reviewing risk assessments specific to the task to be undertaken.
- Requesting examples of previous similar work undertaken by the company.
- Requesting and considering training records and competence of their employees.
- Requesting references.

Important: A record of all information supplied by a contractor/consultant must be kept on file.

Once a contractor/consultant has successfully completed this assessment process they can be entered on to the Contractors Approved List as having done so. Only contractors that have successfully completed Stage 1 and Stage 2 assessment processes can be awarded work.

Consultants on the other hand can be awarded work having only completed Stage 2 providing the person carrying out the assessment is satisfied that they are competent.

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. To help achieve this Health and Safety Induction days will be scheduled annually and contractors will be able to send their employees along.

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

Because the university is such a large and complex site that has literally hundreds of contractors visiting on a weekly basis ESS have developed three main methods of carrying out health and safety induction they are:

1. Major Contracts: The principal or main contractor is inducted, thereafter they must induct anyone that is to be working on their site.
2. Frequent visitors - The ESS Contractors Health and Safety Induction booklet is used.

The booklet has been developed to raise awareness of the hazards and risks present at the University. While the information contained within the booklet is quite general it directs contractors to various sources of information and University employees that are able to provide specific advice about working in areas of high risk such as roofs, labs, plant rooms etc

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

Contractors will also be requested to ensure that their employees have completed the Induction Assessment and Application Form (at the rear of the booklet). The completed form must then be sent with a passport size photograph of the individual (electronic photos will be accepted) to the Estate Support Service Health and Safety Officer who upon receipt of a completed form and photograph will issue a **Contractor's ESS Health and Safety Induction Identification card. Contractors must clearly display their card at all times when visiting the University.**

3. Infrequent visitors and one time visitors - The ESS Contractors Health and Safety Induction booklet is used.

The booklet has been developed to raise awareness of the hazards and risks present at the University. While the information contained within the booklet is quite general it directs contractors to various sources of information and University employees that are able to provide specific advice about working in areas of high risk such as roofs, labs, plant rooms etc

When contractors attend their respective information points to announce their arrival and log in (see 3.1) they will be asked to show their Induction Identification Card. In the event that a contractor cannot demonstrate they have had an induction they will be provided with a Contractor Induction Booklet and taken through its content and asked to complete an induction assessment and application form there and then. Once the induction is carried out and the induction application form successfully completed their details will be entered onto the Induction Data Base, they will then be issued with a pass valid only for that day. The pass must be displayed at all times as it will demonstrate that the contractor has completed their induction and that they are authorised to be in specific area(s) on campus.

3.1 Contractors safety on site and site security

For reasons of health, safety and security it is very important that ESS and Accommodation and Hospitality Services know:

- When contractors are on site
- Where they are
- What type of work they are doing
- What time they are expecting to leave

To this end Newcastle University ESS has a log in – log out procedure that requires contractors to report to one of five information points or an Accommodation Site Office (when working at student accommodation sites) when they arrive at site and before they leave.

Upon arrival at the information points/accommodation office contractors will be requested to show their induction identification badge to prove they are who they say they are and that they have had their induction.

In the event that a contractor cannot produce their induction identification badge they must:

1. Retrieve their induction badge and then produce it
2. Undergo another induction at the information point
3. In the event that they have lost their induction identification badge they must produce identification and purchase another badge.

4.0 Monitoring contractors health and safety performance

ESS employees are required to monitor contractor's health and safety performance when work is in progress to ensure the work is being carried out safely. This is done by checking work is being carried out in accordance with legislation, risk assessments, method statements and site rules etc

The frequency of health and safety monitoring of each contract must be determined by the lead officer for the project, taking into consideration the scope of the work, the length of the contract and the risks involved in the work.

ESS monitors the health and safety performance of contractors in several ways:

- **Informal**

All ESS employees are expected to monitor contractor's performance when going about their normal duties, they must also report any health and safety risks when they see them. Reports should be made to the ESS employee responsible for the contract or the ESS Health and Safety Officer. The risks will then be investigated,

necessary remedial action taken and a record of the incident made on the Approved Contractors List.

- **Formal**

ESS employees that employ contractors have a specific responsibility to ensure that they are working safely. In order to do this they must monitor the contractors performance themselves or nominate someone to do it for them.

When monitoring health and safety performance it is important to record both good and bad practice as this enables us to demonstrate that we are monitoring contractors even when there have been no problems. The results of health and safety monitoring must be recorded on to the Approved Contractor List preferably using the contractor monitoring handbook.

- **Arms length**

When appropriate to the type of contract, requesting copies of the contractors own health and safety inspections will allow ESS employees to monitor a contractor's health and safety at "arms length". This method of monitoring is reassurance that the contractor is monitoring their own performance. This approach is not an alternative to "formal monitoring" but should be used in conjunction with it.

5.0 Imminent and serious risks to health and safety

ESS managers and/or the Health and Safety Officer reserve the right to suspend any work activity carried out by any contractor working on behalf of the University when that work presents an imminent and serious risk to health and safety.

The suspended work activity cannot recommence until such time as the monitoring officer is satisfied that suitable remedial action has been taken to control/manage the risk.

6.0 Approved Contractor List

The **Approved Contractor List** is a management tool designed to aid ESS employees when appointing contractors.

Only contractors that have been successful at both Stage 1 and Stage 2 assessments can be awarded work.

Since data about contractors health and safety performance is also recorded on the list it will further assist ESS employees in choosing a contractor.

Contractors health and safety management systems and competence will be reassessed every two years, in the event that a contractor's assessments have expired they must be reassessed by the ESS employee that wishes to engage them to carry out work on their behalf.

7.0 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. Should a contractor be observed to be working in an unsafe manner, while undertaking work on behalf of ESS, a report will be taken to the Group with regard to their performance.

The group will then jointly decide what course of action to take:

- ESS may write to the contractor requesting they investigate and explain in writing what action they propose to take to prevent further occurrence.
- The contractor may be invited in to explain to a panel from the Group what went wrong and what course of action they propose to implement to prevent further occurrence.
- The contractor may be suspended from working for ESS for a period of time to be agreed by the group. Following a suspension the contractor's health and safety must be reassessed using Stage 1 and Stage 2.

