**Selection of contractors checklist**

This checklist is not exhaustive but addresses the generic checks to be undertaken prior to engaging the services of a contractor. It sets out minimum health and safety requirements for selecting a contractor but there will be other requirements (equalities, financial, DBS checks etc) to consider.

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| **CONTRACTORS WITH FOUR EMPLOYEES OR FEWER (SMALL CONTRACTORS)** |
| For smaller contractors, it should be remembered that some of these requirements may not be able to be evidenced as they do not need to be documented under health and safety legislation, therefore evidence of competence may be more difficult to determine.  Nonetheless, schools should carry out the same checks but apply common sense and expect answers commensurate with the level of risk involved. This could simply be done by discussing the areas of the checklist with the prospective contractor taking notes about the answers received.  Where a small contractor does not have a written risk assessment, consideration should be given to producing one in consultation with the contractor to define the hazards, risks and control measures required to be put in place and by whom. |

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| **IS WORK CDM NOTIFIABLE?** |
| CDM refers to the Construction (Design and Management) Regulations 2015. The regulations apply to any building, demolition, maintenance or refurbishment work. Such projects are notifiable to the HSE where the work exceeds 30 construction days with 20 or more workers working simultaneously or if the project exceeds 500 person days (previously this would have been actioned by the now defunct CDM coordinator role).  In addition, two specific and specialist roles of principal designer and principal contractor must be appointed by the client. |

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| **Works of less than 30 days / 500 person days** |
| Contractors shall ensure compliance with all relevant health and safety legislation, guidance and good practice, their own health and safety policy, health and safety systems and procedures.  Schools need to satisfy themselves that contractors are competent (i.e. they have sufficient skills and knowledge) to do the job safely; the degree of competence required will depend on the work to be done. |

**CONTRACTOR ASSESSMENT**

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| **CONTRACTOR NAME** | **ADDRESS** | **TRADE** |
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| **NAME OF ASSESSOR** | **SIGNATURE** | **DATE** |
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| **1. INSURANCE** | Contractor has adequate and valid insurances? | |
| It is essential that schools check the validity and level of contractors’ insurance prior to the commencement of work.  The following details should be checked:   * Contractor is the principal insured * Cover is in force (check renewal of cover if contract works exceed the renewal date) * Limit of indemnity is adequate for work being done, i.e. * **Employers’ liability £10 million** (any one incident) * **Public liability £5 million** (any one incident) * **Professional indemnity £5 million** (any one incident, if contractor is providing professional consultancy advice) * Policy documents are checked for exclusions or conditions which may invalidate cover for the contract being undertaken, e.g. height restrictions. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **2. HEALTH AND SAFETY POLICY** | Health and safety policy in place? | |
| Check contractor has a clear and comprehensive policy consisting of a statement of intent, roles and responsibilities, and arrangements required.  Policy reviewed regularly (annually ideally)?  Policy signed and dated? | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **3. HEALTH AND SAFETY MANAGEMENT** | Suitable management systems in place for health and safety? | |
| Details of organisational structure (roles, responsibilities and accountability)  Provide details of any health and safety management systems used, e.g. HSG65, OHSAS 18001, etc.  Provide details of audits and monitoring undertaken (frequency and type).  How is health and safety communicated within the organisation? | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **4. PROVISION OF SAFETY ADVICE** | Access to competent safety advice? | |
| Check who provides competent safety advice for the contractor. In practice, this could be one of their employees or an external source.  Competence could be demonstrated through a NEBOSH diploma/certificate in safety, chartered membership of IOSH or similar qualification.  Trade associations may also provide health and safety advice to members. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **5. RISK ASSESSMENT** | Suitable risk assessments in place? | |
| Check contractor has conducted suitable risk assessments covering all aspects of the work involving significant risk, e.g. work at height, working around children, vehicles on site, etc.  Assessments must:   * Be specific to the works to be conducted * Identify satisfactory control measures * Be signed and dated * Be regularly reviewed | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **6. METHOD STATEMENT** | Written method statement available? | |
| Check contractor has produced a written safe system of work based on the risk assessment.  Method statement to take account of any local issues. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **7. WORK-RELATED TRAINING RECORDS** | Evidence of suitable training? | |
| Check contractor has adequate training records for employees involved in work. This may be in the form of course attendance certificates, operating identity cards, safe operating certificates or other suitable evidence of competence to carry out the work. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **8. COMPETENCY** | Evidence of suitable experience/competence? | |
| Specialised contractors or certain types of work may require other specific documentation or an independent assessment of competency.  Is there evidence that they are members of any relevant trade associations or professional bodies, i.e. for Gas Safety, work on asbestos, etc.? | | |
| CHECKED AND ADEQUATE | YES | NO |

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| **9. PROSECUTIONS AND NOTICES** | Does contractor have previous convictions/notices? | |
| Ask contractor to provide details relating to any Health and Safety Executive (HSE) actions, e.g. improvement or prohibition notices or any prosecutions. Look for details of clear actions being taken by the company as a result of any such HSE action.  HSE has a database of prosecutions and notices which enables you to search for previous convictions, cases currently going through the courts or any past improvement/prohibition notices.  <http://www.hse.gov.uk/notices/>  <http://www.hse.gov.uk/prosecutions/> | | |
| CLEAR OF PROSECUTIONS/NOTICES | YES | NO |
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| **10. ACCIDENT HISTORY** | Evidence of accident history provided? | |
| Ask contractor for accident records and evidence of their accident reporting systems.  Absence of such records may be an indication that safety is not a priority rather than of a totally safe operation. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **11. SUB-CONTRACTORS** |  | |
| Provide details of the checks the organisation makes on competency of any sub-contractors.  Provide details of the frequency and type of monitoring of sub-contractors. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **12. REFERENCES** | Evidence of suitable experience? | |
| Ask contractor for details of contact names and addresses of two referees for whom similar work has been carried out. | | |
| CHECKED AND ADEQUATE | YES | NO |
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| **SUMMARY OF ASSESSMENT** |

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| Contractor has demonstrated competence and has documented safe systems of work in place. | **Yes** | **No** |