

## SELECTION, CONTROL AND MONITORING CONTRACTORS

### INTRODUCTION

This policy is compiled to assist Managers of Service Units meet their statutory responsibilities in the selection, control and monitoring of contractors. It should be read in conjunction with Poole Housing Partnership's Standing Orders relating to Contracts and Tenders.

The use of contractors to carry out work on behalf of the Poole Housing Partnership has many benefits but poses potentially significant risks to health, safety and welfare unless adequate measures are implemented. The Poole Housing Partnership cannot pass on its legal duties under the Health and Safety at Work Act 1974 (HSWA) by means of a contract and will still retain duties towards non-employees by virtue of Section 3 and 4 of HSWA. It is imperative, therefore, that all reasonably practicable measures are taken to ensure such work is carried out in the safest way possible in accordance with current Legislation, Approved Codes of Practice, Industry Best Practice and including where appropriate British and/or European Standards.

There are various ways in which contract works are organised. For the simple short duration and low risk activities such as the re-decoration of an office over Christmas, this could be planned and managed within the organisations own resources. In this case, the responsibility for selecting and managing contractors rests solely with the organisation.

For the more complex and high risk works such as the replacement of a computer system and associated cabling, this would probably require the appointment of a 'Project Manager' by the Head of Maintenance. In this situation, the Project Manager and Head of Maintenance would both have responsibilities depending on the precise nature and arrangements of the works.

Whichever method is decided upon, the requirements of this policy and principles contained in the supporting guidance must be followed.

The term '**Building Manager**' is used throughout this document to describe the manager responsible for the day-to-day management of the building. Depending on the circumstances, this could be Managers of Service Units, Residential Home / Day Care Centre Managers, Head of Maintenance etc.

The term '**Project Manager**' refers to the person responsible for the design and management of any project work or service delivery. This could be someone appointed from another Unit within the Poole Housing Partnership or from an outside organisation such as an architect or design consultancy.

All Service Units use contractors and it is therefore essential that those employees responsible for the selection and management of contractors read

and comply with the policy and guidelines contained in this document. Failure to do so may well expose the Poole Housing Partnership to prosecution by the enforcement agency and possibly lead to claims for compensation in the event of an accident.

## **OBJECTIVES OF THE POLICY**

- To ensure so far as is reasonably practicable the health, safety and welfare of employees, contractors, pupils, service users and other visitors to Poole Housing Partnership premises.
- To clarify the roles of Managers of Service Units, Building Managers, Contractors and Employees with regard to the management of contract work.
- To ensure compliance with:
  - The Health and Safety at Work Act 1974;
  - The Management of Health and Safety at Work Regulations 1999;
  - The Construction Design and Management Regulations; and
  - Other relevant health, safety and welfare legislation.
  - To provide a framework for the management of contractors by Units and Schools.

## **POLICY STATEMENT**

It is the policy of the Poole Housing Partnership to ensure so far as is reasonably practicable the health, safety and welfare of employees at work and to establish and maintain the highest practical standards of accident prevention. The Poole Housing Partnership also seeks to achieve the highest possible standards of care for contractors, pupils, service users, visitors and others who may be affected by the Poole Housing Partnership's activities.

A competent named individual (Project Manager) will be appointed to plan, co-ordinate, control and monitor the activities of contractors to effectively minimise the risks introduced as a result of the works or service delivery.

Only those contractors who have proved able to discharge their primary responsibility to safeguard their employees and other persons who may be affected by their undertakings will be selected. This will be administered in the form of an approved list of contractors maintained by the Unit / which will describe the contractor's capabilities and limitations.

Those Units who only use contractors on an infrequent basis must either use a contractor from one of the approved list maintained by the Head of Maintenance, or go through the process of selection and assessment before engaging any contractor to carry out work or deliver a service on behalf of the Poole Housing Partnership.

Contractors on the 'Approved List' will be reviewed every year, or less should there be any lapses in agreed health and safety standards. Sanctions will be

applied as a result of poor health and safety performance in the form of written warnings, suspension and removal from the list where deemed necessary.

Where necessary, work involving construction, alteration, conversion, fitting out, commissioning, renovation, repair, maintenance, de-commissioning, demolition or dismantling of a structure, will be in accordance with the Construction Design and Management Regulations where appropriate.

Contractors will be monitored to ensure compliance with agreed standards of health, safety and welfare. *(How often will depend on the level of risk and previous standards achieved by the contractor - higher the risk the more often the monitoring - It is recommended that at least 5% of work is monitored.)*

Project Managers and Building Managers should use the **‘Guidelines for Managing Contractors’** (See Appendix 8) as a benchmark when assessing the competency of contractors at the tendering stage and when monitoring them during the works.

Heads of Service Units are responsible for the implementation of this policy in their Unit, and are to ensure that a competent ‘Project Manager’ is appointed to select and manage contractors.

## **GUIDANCE ON SELECTION, CONTROL AND MONITORING CONTRACTORS**

### **Introduction**

This guidance explains responsibilities for health, safety and welfare when selecting and employing contractors and describes good management practices. It is intended to provide guidance and minimum standards for Poole Housing Partnership employees having responsibilities for the selection and management of contractors. This guidance is suitable for a wide range of contract works and services but where the risk is deemed to be high such as work in confined spaces or asbestos removal, then you may need to seek additional competent advice. In deciding upon the level of complexity, you should always assess whether your knowledge and experience is sufficient to adequately manage the works within the requirements of current health and safety legislation and of course, within the Poole Housing Partnership’s Safety Policy and Standing Orders.

As a Poole Housing Partnership Officer or agent of the Poole Housing Partnership you may need to appoint contractors to carry out work on behalf of the Poole Housing Partnership:

- on Poole Housing Partnership owned premises;
- on premises occupied by the Poole Housing Partnership; or
- to aid in service delivery.

There is a clear duty of care owed to such contractors by the Poole Housing Partnership no matter where the work is carried out. In turn, the contractor

owes a duty of care to all Poole Housing Partnership employees and non-employees affected by the work.

Even if not responsible for a contract, you may be responsible for premises (Building Manager) where contractors carry out work, e.g. painters and decorators, service engineers, window cleaners, etc. In such circumstances you must ensure that where practical, **All** contractors are logged on and off the premises and where necessary for reasons of health and safety, the site and scope of the area of work are clearly identified by adequate warning signs.

It is worth noting that, even when projects are being designed and managed by others, the Building Manager retains overall responsibility for the premises and those working on it and any visitors - invited or otherwise. If at any stage of the project you feel that the works pose unacceptable risks, you should in the first instance discuss your concerns with the contractor at the time. If after discussing it with the contractor and in your opinion a significant risk remains, you should **'Stop the Work'**. The 'Project Manager' should then be informed of your decision.

Project Managers have a duty to appoint competent contractors, and control and monitor the work of any contractors they engage in order to ensure the health and safety of those affected by the work. Whenever a project requires specialist input, Project Managers should seek the appropriate professional advice either to manage the project as a whole or to give advice on specific aspects.

Where contractors come in briefly and do little work, the duty of care may seem small, but it is still there. By applying the same approach to all contracted work it will be possible to achieve the safe working required.

Anyone entering premises for the purposes of carrying out work for the Poole Housing Partnership must be regarded as a 'Contractor', to whom duties are owed, and indeed who owes duties with regard to health and safety. Because of this, the same principles must be applied to all who are engaged to work on behalf of the Poole Housing Partnership.

Although this policy is primarily aimed at managers who employ contractors onsite and within Poole Housing Partnership premises, the principles contained can, and must, be applied when employing contractors within the community e.g. if you commission a contractor to provide a service in a member of the public's home. Furthermore, the principles also apply to situations where contractors are appointed to do work for the Poole Housing Partnership to aid service delivery e.g. residential care placement within a private / voluntary residential care home. The list of potential work carried out by contractors is long and could include:

|  |                               |
|--|-------------------------------|
| Agency (temporary cover)               | Home Care Provision           |
| Architectural Design                   | Maintenance                   |
| Asbestos Removal                       | Plumbing                      |
| Building Works                         | Plant and Equipment Servicing |
| Catering                               | Painting and Decorating       |
| Data / Phone / IT Cabling Installation | Refuse Collection             |
| Electrical, Mechanical and Gas         | Residential Care Provision    |
| Servicing / Installation               | Security                      |
| Equipment / Material Delivery          | Scaffolding Erection          |
| Grounds Maintenance                    | Surveying                     |
| Highways Maintenance                   | Utilities                     |
|  | Window Cleaning               |

**Note:**

This is a not an exhaustive list of contract work and may not include all types of contractors used by Units.

## **A CONTROL STRATEGY**

There are 5 steps to a successful control strategy. The extent to which each step is relevant will depend upon the degree of risk, the nature and complexity of the work to be contracted.

### **The five steps are:**

- PLANNING & DESIGN
- SELECTING CONTRACTORS
- WORKING WITH CONTRACTORS ON SITE
- MONITORING CONTRACTORS
- REVIEWING THE WORK

At this stage it is important that whoever is commissioning the work should satisfy themselves that they are competent to manage, design, control and supervise all or parts of the contract. Competence may be described as a combination of appropriate training and experience or knowledge and/or other qualities to enable a person to carry out the duties and functions of the task. Having answered this question, you will be in a position to identify the elements of the contract for which you require advice or assistance.

The person commissioning the works or service may be termed the 'Client' under the Construction, Design and Management Regulations who should, where appropriate, appoint various duty holders under CDM Regulations). Depending on the complexity and risks involved, these could be an internal appointment or suitable professional from another Unit or from an external organisation.

Roles and responsibilities for each step of the way will vary according to the nature and complexity of the work to be undertaken and likewise will vary depending on the nature of the premises and the activities taking place.

For the small, less complex and low risk works, such as simple painting and decorating or cleaning in a School, Appendix 3 'Small Scale Works Procedure' provides a simple form which can be modified and used according to the work being carried out. However the principles contained in this document must still be followed.

### **STEP 1: PLANNING & DESIGN**

Planning is obviously an important process. The Health and Safety Executive consider that careful planning and design will lead to a safer working environment and therefore reduce accidents and near misses. The term design is introduced here as design has an important function, particularly in construction and is an aspect covered within the Health and Safety at Work Act 1974 and in other legislation such as the Construction (Design and Management) Regulations (CDM). Duties under the CDM Regulations are further outlined later in this document (see Page 17).

Depending on the complexity and level of risk posed by the contract work, the following stages need to be considered:

## Define the Job.

Write down what you want to achieve and what you require the contractor to provide. This basic principle will help promote effective communication between client and contractor and will ensure value for money, providing a finished product fulfilling your requirements. Drawings and / or technical specifications, as well as safety plans, may be appropriate for complex or higher value or hazardous projects. Where appropriate, identify at this stage the person who will be managing the project (Project Manager).

This could be the Building Manager or a representative from other applicable Unit or an outside consultant. When detailing the job description or specification, include the following which will become important when working with and monitoring the contractors once the work commences.

- Phasing of work to minimise the risks
- Site Rules (refer to Guidelines for Managing Contractors - Appendix 8)
- Security arrangements and procedures for signing contractors in and out
- Identification of the contractors agent on site
- Frequency of progress meetings
- Hours of working
- Restrictions on hours of working

## Identify Hazards

Any hazards present or connected with the project should be identified and conveyed to those concerned i.e. designer, contractor, etc. Look for hazards present within the building / grounds and those posed by the works. Look also at who may be harmed should the hazards be realised. Where appropriate record the significant hazards. REMEMBER - hazards may be chemical, biological, physical, environmental and psychological i.e.:

- Chemical - substances in use on site or being brought to site as part of the contract works or service etc.
- Biological - risk of cross-infection, works on drains or areas contaminated by rats (Leptospirosis).
- Physical - falls from height, falling objects, contact with vehicles, risk of electric shock etc.
- Environmental - extremes in temperature, noise, confined spaces etc.
- Psychological - stressful i.e. due to pressure, boredom, complexity etc.

Appendix 2 details a list which is not exhaustive, of some of the most common hazards associated with work undertaken by contractors along with a checklist of other issues to consider which should be used as reference during the Planning and Design Stage.

## Evaluate the Risks.

Hazards should ideally be eliminated altogether and the risks reduced by design, such as carrying out work when pupils are not on site, or erecting scaffolding around an

occupied building outside normal working hours. Remaining risks have to be controlled and their source or nature conveyed to the contractor so that they can adequately manage them. Risk is the likelihood of harm should a particular hazard be realised and should take into account frequency of occurrence, numbers affected and severity of any potential injury. Detailed guidance on risk assessment is contained in the Poole Housing Partnership's Safety Policy - Part 3 Appendix 2.

**Designers should develop their own risk assessment and pass them to the Project Manager PC and Contractors in order that method statements can be produced where the risk is high**

### **Provide all Health & Safety Information**

Advise the contractor by means of the written description or technical specification of hazardous conditions (unprotected edge, asbestos, underground services etc.), materials, processes and vulnerable persons such as pupils or service users with whom they may come into contact. This will allow potential contractors to assess the risks, allocate adequate resources to control them and thereby price the works correctly.

Ensure that these documents advise potential contractors of any site rules the client wishes to impose such as co-operation with contractors, access and egress, working with other people on the premises etc. Appendix 8 'Guidelines for Managing Contractors' sets down the minimum standards of health, safety and welfare which contractors should be measured against. Though contractors are responsible for complying with all health, safety and welfare legislation applicable to the work and producing their own safety procedures, it may be helpful to issue them with a copy of 'Guidance for Managing Contractors'. This may avoid the need for stopping the work due to contractors working in breach of the Poole Housing Partnership's minimum standards.

Project Managers must pass on all relevant information that they are aware of, or should be aware of, or which is attainable through reasonable investigation, i.e. contaminated land, details of asbestos, fragile roofs, unprotected edges, unstable elements of the buildings affected etc., to the contractors at the tendering stage.

The process of drawing up the specification should include appropriate consultations with the 'Building Manager' to ensure that they are fully aware of the proposed work and have a chance to comment on those aspects of it which may affect their own employees' health and safety.

## **STEP 2: SELECTING CONTRACTORS**

### ***Consider the Variables***

Selecting the right contractor(s) is very important. You are always best advised to use contractors who are already on one of the Poole Housing Partnership's Approved Lists such as those maintained by the Head of Maintenance. This ensures that a level of checking - financial, quality, basic health and safety competence etc. has been considered.

The following aspects will need to be considered when selecting contractors.

**Nature of the Project** - each type of project will present different management and health and safety issues requiring unique specialisms and competencies, i.e.:

- Cleaning contracts - Hazardous substances
- Small building / maintenance contracts - Working in occupied buildings
- Larger building contracts within the scope of the notifiable CDM Regulations
- Grounds maintenance contracts - Use of pesticides
- Catering contracts - Food hygiene
- Window cleaning contracts - Working at height
- Provision of care contracts - Manual handling / Infectious diseases / Confidentiality
- Telecommunication or IT installation contracts - Electricity

Similarly, other issues will influence choice of contractor i.e. the complexity and duration of the project, potentially hazardous materials or processes employed, the type of plant to be used/operated and so on. Likewise, various forms of licence may be required i.e. 'GAS SAFE' (for those working on gas systems and appliances); contractors licensed by the Health and Safety Executive for working on asbestos i.e. repairs / removal / encapsulation etc.

**The Level of Contractor Competence** - this may influence certain aspects of your selection and assessment process as the more complex works will normally require larger or more experienced contractors capable of managing such projects. Consideration should therefore be given as to whether to use:

- Sole operator/single trader
- Contractor employing 5 or less (no legal requirement to produce written Safety Policy and Risk Assessments)
- Contractor employing more than 5 (legally required to produce written Safety Policy and Risk Assessments)
- Contractor capable of co-ordinating the works of others

**Nature of the site or premises** - each will present potential hazards:

- Occupied or unoccupied
- Single or multi-storey, single or multi-block
- Fragile roof coverings
- Buried or overhead pipes and cables
- Unstable ground
- Presence of asbestos or materials containing asbestos
- Difficult access
- Unusual hazards associated with the site or its use
- Availability of shared welfare facilities

**Nature of Client's Undertakings** - i.e. School, Residential Home, Day Care Centre, Special Needs Unit, Factory/Workshop Unit:

- Security considerations
- Confidentiality
- Vulnerable people
- Other contractors on site
- Site rules in place i.e. no smoking, fire evacuation routine, parking, etc.
- Multiple occupancy situations - more than one organisation on site, which will require formal co-operation between all parties.

### **Actually Selecting Contractors**

Traditionally contractors may have first been selected on cost, however health and safety legislation requires account to be taken of competence and the allocation of adequate resources i.e. competence in the management of health and safety and provision of adequate resources to undertake works or provide services safely.

### **Ways of selecting contractors:**

- Select from known good performers - personal experience
- Select from good performers known to other Units or Schools within the Poole Housing Partnership or your profession or other reputable organisations - i.e.
  - Building works, check with Property Services;
  - Grounds maintenance - check with Leisure Services;
  - Catering - check with Property Services / Consumer Protection Services;
  - Window / general cleaning - check with Property Services; etc.
- Select from recognised professional or trade bodies i.e. Electrical Contractors Association (ECA), NICIEC registration (for electrical works), Federation of Master Builders, National Association of Access and Scaffolding Contractors, etc.
- Select by advertisement

Units and may wish to utilise ‘Safety Schemes in Procurement’ which is the UK’s largest accreditation scheme for contractors and consultants.

It is designed to streamline procurement procedures and increase quality in construction services. Where major construction work is to be carried out, it would be advisable, where possible, to select contractors who are on their approved list and therefore checked with regard to financial, quality and health and safety standing. **However, it is important that ‘Project Managers’ are satisfied that the Contractor has taken adequate precautions to control the risks involved with the particular project.** Details are available on the Internet web site.

Further information on Safety Schemes in Procurement is available from the Head of Maintenance and RHSS Limited.

### ***Identification of Suitable Contractors***

It is clearly necessary to work out a system aimed at ensuring that a contractor who is experienced in the work being contracted, with knowledge of health and safety standards and a record of putting them into practice, is selected for the work.

Each contractor wishing to enter an ‘approved list’ or carry out work on behalf of the Poole Housing Partnership, must be required to provide evidence of competency. A pre-qualification questionnaire (See Appendix 5) must be completed by each contractor, providing necessary information about their policy on health, safety and welfare, including management systems, responsibilities, experience, safe systems of work, method statements, statutory licences, proof of electrical inspection and testing and training standards etc. Arrangements will be required for vetting these for adequacy (see Appendix 4).

A contractor may, if not geared up to manage health, safety and welfare or in an effort to keep overheads low, ask to have a copy of the Poole Housing Partnership’s Safety Policy, Procedures and Guidance Sheets with a promise that they will comply with those standards. Though the Poole Housing Partnership must establish minimum standards of health, safety and welfare (see Appendix 8 ‘Guidelines for Managing

Contractors’) it is not satisfactory for a contractor to rely solely on them. Each organisation has a different structure and ‘borrowing’ another organisation’s approach to health, safety and welfare can never reflect how they will operate on a day-to-day basis. Additionally, they ought to convince you that they have thought through the risk assessments themselves and decided what resources will be needed for the necessary controls and that they are able to deliver them.

At this stage it should be possible to identify potentially ‘competent’ contractors for approval, but feedback will be required to identify any who do not in practice conform to their own stated standards. This means that the ‘Approved List’ will require regular scrutiny and updating. (The Poole Housing Partnership should insist that contractors on the ‘Approved List’ are reviewed after an initial period of 12 months and then every two years or less to ensure that there have not been any lapses in agreed health and safety arrangements).

### ***Assessing Contractors - Checking the Bids***

When bids are returned, it should be possible to distinguish the potentially competent at this stage. The Contractor Evaluation Checklist (See Appendix 6) should be used as a benchmark for assessing the competency of potential contractors. As part of the evaluation process references should be checked, in particular, standards of health, safety and welfare achieved during similar work. An ‘Approved List’ of contractors, scrutinised at interview, can save the need for carrying out a complete selection process as described, on every occasion, especially when the work is repeated on a regular basis such as ‘Response Repair Maintenance’.

Even for contractors known to you, a formal selection and assessment process, duly recorded, must be gone through. Of course, for those contractors already known to you, a much simpler assessment may be made based on experience of previous standards of work and health and safety. However, you should record your assessment and findings in each case.

**NOTE:** At this stage, you should make an assessment of your own knowledge and competence to make judgements on the quality of contractors’ responses - particularly in the field of health and safety and specialist technical areas such as maintenance, repair and installation of gas systems and appliances, asbestos removal, etc. Assistance on health and safety is available from the Head of Maintenance and RHSS Limited.

A final assessment of the contractor’s tender or quotation should be carried out to ensure adequate financial and human resources have been allowed for all necessary health, safety and welfare related activities, including overall planning and management for the duration of the project.

### **STEP 3: WORKING WITH & CO-ORDINATING CONTRACTORS**

Because of the variety and number of contractors supplying services or carrying out works in or around buildings, some thought should be given as to how their various activities can be controlled and co-ordinated to prevent unacceptable risks to employees, pupils, service users, visitors and not least the contractors themselves.

Much of this information will have already been covered in Step 1. In Step 3, the effort expended on planning is realised. This stage demands a significant input from the Project Manager and involves communication, co-operation and a level of supervision. The Project Manager becomes the contractor's main point of contact. The amount of input required is likely to be inversely proportional to that expended at Step 1. If adequate planning is carried out at Step 1, then less time should be needed to address health and safety when things go wrong i.e. by stipulating at the outset that warning signs should be used when working in occupied buildings, it will alleviate the need to stop contractors working and save you time and effort.

Prior to commencement, a 'pre-contract' meeting should be held at which all arrangements are finalised and each party given the opportunity to introduce key members of staff such as the contractor's 'Site Contact'. It will be worthwhile to reinforce all health, safety and welfare issues that you have addressed in the earlier stages. Likewise you may find it worthwhile to remind contractors that plant and equipment, (i.e. step ladders, extension leads etc.) are not provided for contractors use. Again, if Step 1 was carefully considered, new issues are less likely to arise at this stage.

Working closely with the contractor will not only ensure the work runs smoothly, it will ensure that you are aware of all activities on the premises. Although contractors are responsible for supervising their own work and for ensuring that they work safely, every Building Manager also has duties.

Under the Health and Safety at Work etc. Act 1974; the Management of Health and Safety at Work Regulations 1999 and the Workplace (Health, Safety and Welfare) Regulations 1992, you must ensure the health, safety and welfare of those on site - including Poole Housing Partnership employees, pupils, service users, visitors and contractors. As well as being aware of hazards, you are required to ensure that risks are adequately managed. To this end, you may need to remind contractors to meet their duties and work safely.

### ***Safety Rules***

A basic principle of control is that as much as possible should be set down in detail in the contract (Stage 1 Planning and Design). An important condition should be that the contractor agrees to abide by all the provisions of the Poole Housing Partnership's Safety Policy and rules which may affect their employees or the works. This will include compliance with all safety rules applicable to the premises.

Exchange of information and summaries of risk assessments are requirements of Regulation 10 and 11 of the Management of Health and Safety at Work Regulations 1999 where construction or any contract workers interact with the Poole Housing Partnership's undertaking.

Often, the contractor may delegate the performance of all or part of the contract to other sub-contractors. In these cases it is essential to ensure that the sub-contractors are as aware as the main contractor of the safety rules applicable to the premises.

A condition which can be attached to the contract is that the contractor undertakes to select in turn any sub-contractors they intend to use for 'competence', and to inform them of all safety requirements, to incorporate observance of them as a requirement of any future sub-contract, and to require the sub-contractor to do likewise if they in turn sub-contract any work.

#### **STEP 4: MONITORING CONTRACTORS**

You cannot watch contractors all the time; you will need to decide how much contact is reasonable bearing in mind the hazards and risks associated with the works. The start and finish of the day may be important times for checking with the contractor that all is running to plan. In addition to this routine monitoring you should ensure that contractors report all accidents, incidents and near misses to you, however minor. This gives you the opportunity to put matters right before someone is seriously hurt.

Much of the role has already been covered in Step 3. Monitoring is not just about observing, it is about ensuring compliance with the contract (and health, safety and welfare standards). If what you see is not as planned, appropriate action will need to be taken. In Step 1 Planning and Design and again in Step 2 Selecting Contractors, reference was made to obtaining advice and assistance from Poole Housing Partnership professionals i.e. Transportation Services, Property Services or the Health and Safety Team. Even at this late stage, it is not too late to seek advice. Problems may arise and you may be unsure as to their significance or just what to do about them. Never be afraid to take advice - it may prevent a serious injury or save valuable time and resources.

A standard contractor health, safety and welfare inspection report form is provided for this purpose (see Appendix 7). As a general rule, 5% of works / service delivery should be monitored, though this depends on the complexity of the works and the hazards and risks associated with them. Units may wish to modify the inspection report form or incorporate it into a general contractor monitoring form.

A record of all monitoring activities should be kept as evidence that the Poole Housing Partnership are monitoring the activities of contractors. This could then be used to defend any potential prosecution by the Health and Safety Executive or claim for compensation as a result of an accident. Records should be kept for a minimum of three years.

#### **Contract Completion**

The contractor should leave the work area clean and tidy on completion of the contract, removing all waste materials, plant, equipment and tools. This should be checked by either the Project Manager / Building Manager. At this point it should be possible to assess the overall performance of the contractor and to discuss with them any concerns regarding health, safety and welfare.

## **STEP 5: PROJECT REVIEW**

Spending a little time to review the project could save time for you and others when the next project develops. Valuable lessons that will improve effectiveness next time round may be learned from the review process.

Project review requires an honest and objective approach. This stage reflects upon each stage including contractors' performance and suitability for this and other projects.

Things to consider are:

- Effectiveness of planning stage - design, including your input
- Contractor performance i.e. time, cost, quality, communications etc.?
- Health and safety - Compliance with agreed standards, No of accidents / near misses? Could these have been foreseen and thus prevented? Did the project turn out as expected? Value for money?
- Could anyone else learn from this?

If the contractor genuinely performed badly in terms of co-operation and health, safety and welfare, it is important that other interested parties are informed. If the project involved works carried out by a contractor on one of the Poole Housing Partnership's 'Approved Lists', the relevant Unit or School should be advised. However it is important to give contractors a reasonable period of time to improve standards of health, safety and welfare. Ideally this should be during the project when problems first arise. Where necessary, a letter should be sent to the contractor outlining the problem and indicating a time frame within which the improvements should be achieved.

On the positive side, advise your Unit / School and Poole Housing Partnership colleagues of good experiences with contractors so that others may benefit

## **CONSTRUCTION (DESIGN & MANAGEMENT) REGULATIONS**

The CDM Regulations are about focusing attention on effective planning and management of construction projects, from design concept onwards. The aim is for health and safety considerations to be treated as a normal part of a project's development, not an afterthought or bolt-on extra. The object of the CDM Regulations is to reduce the risk of harm to those that have to build, use, maintain and demolish structures.

The CDM 2015 Regulations apply to all construction projects where people are at work.

A project is notifiable to HSE if the construction phase will be longer than 30 days, or 500 person days of construction work. Any day on which construction work takes place is counted. What matters is how many days of construction work the project entails, not when these days occur or the start and finish dates. For example:

- 1 person working for 31 days (actual construction work) – notifiable.
- 60 people working for 10 days = 600 person days (based on an 8-hour day) – notifiable.
- 90 people working 3 x 8-hour shifts (30 per shift) for 6 days = 540 person days – notifiable.
- 30 people working 3 x 8-hour shifts (10 per shift) for 10 days = 300 person days – not notifiable.
- Work carried out before the construction phase begins should not be included.

## **ADVICE NOT WHOLLY RELATED TO HEALTH & SAFETY**

### ***General Management***

Primarily, this document concerns itself with health, safety and welfare matters and general good practice when selecting and managing contractors. These guidelines tend to cover issues of particular relevance to building maintenance and adaptations but the principles will apply to many other forms of contracting.

Clearly, what is not covered and considered beyond the scope of this document, are matters relating to financial control, how to value changes in contract/specification, quality control, forms of contract, handling disputes, planning controls etc. These issues cannot be ignored by you so if you are unsure of what to do, consult the appropriate professional within the Poole Housing Partnership.

### **Indicators of poor practice**

After years of experience in designing and managing contractors, you will recognise at least two things will crop up time and time again:

### **Project Managers**

Tenders vary significantly - this is nearly always due to **a)** insufficient time allowed to prepare tenders or, **b)** inadequate design/specification resulting in the contractor guessing your requirements. This is often the case where requirements are not written down and the design or specification conveyed verbally with a likelihood for variations each time it is repeated.

### **Contractors**

Some contractors always want to change the job. If well intentioned, this can often lead to savings or a safer working environment. However, some contractors are looking to make the job easier and cheaper for them; be on your guard.

## **SUMMARY**

Failure to manage contractors adequately has wide implications under the Health and Safety at Work Act 1974 where sections 2, 3 and 4 can be applied to employers, contractors and occupiers, depending on the circumstances. Similarly, civil claims for damages can be made against employers and occupiers as well as contractors. Provisions of the Management of Health and Safety at Work Regulations 1999 apply, particularly in respect to the provision of information required to be in the possession of all employees. In addition, Regulation 5 requires employers to plan, organise, control, monitor and review their control measures identified by the risk assessments.

## **PRINCIPAL LEGISLATION**

**A list which is not exhaustive, of the principal legislation to be considered includes:**

- The Health and Safety at Work Act 1974
- The Management of Health and Safety at Work Regulations 1999
- The Workplace (Health, Safety and Welfare) Regulations 1992
- The Construction (Design and Management) Regulations 2015
- The Electricity at Work Regulations 1989
- The Control of Substances Hazardous to Health Regulations 2002
- The Construction (Head Protection) Regulations 1989
- The Provision and Use of Work Equipment Regulations 1998
- The Lifting Operations and Lifting Equipment Regulations 1998
- The Control of Asbestos Regulations 2012
- The Asbestos (Licensing) Regulations
- The Manual Handling Operations Regulations 1992
- The Health and Safety (Safety Signs and Signals) Regulations 1996
- The Control of Noise at Work Regulations 2005
- The Highly Flammable Liquids and Petroleum Gases Regulations 1972
- The Gas Safety (Installation and Use) Regulations 1998
- The Regulatory Reform Fire Safety order 2005
- Work at Height Regulations 2005

**COMMON HAZARDS & ISSUES TO CONSIDER WHEN SELECTING & MANAGING CONTRACTORS**

1. The following checklists can be used as a reference which will give a pointer to most if not all of the common health, safety and welfare problems which may arise during the work and issues which need to be addressed at the Design and Planning stage. These should be communicated to the contractor in the specification before the bid is made, and the received bid checked against them to ensure that the contractor has identified / considered the hazards and thought through the assessment and decided on the measures required to control the risk.
2. It is important to remember that it is not sufficient for contractors to identify the hazards and evaluate the risks, they must also provide details of how they are to be controlled.
3. Some of the most common hazards associated with construction or contractor works are:

|   |  |
|---|--|
| Asbestos  | Manual handling  |
| Aggression and violence   | Mobile cranes  |
| Animals   | Noise  |
| Cartridge tools   | Night work   |
| Confined spaces   | Overhead power lines   |
| Demolition and dismantling                                      | Other contractors  |
| Dust  | Parking  |
| Excavations / trenches  | Plant and equipment  |
| Electrical installations including hidden cables                | Poor housekeeping  |
| Environmental conditions  | Poor lighting  |
| Erecting / dismantling scaffolding                              | Portable electrical equipment and cables                           |
| Falling objects   | Pressure systems   |
| Flammable gases / materials / substances                        | Pupils, service users and visitors                                 |
| Gas systems and appliances                                      | Roof work (fragile roof coverings)                                 |
| Ground conditions   | Steel erection   |
| Glazing   | Time constraints   |
| Hazardous substances  | Underground services (electricity, gas, water, telecommunications) |
| Hot Work  | Vibration  |
| Infectious diseases such as Leptospirosis / Tetanus / Hepatitis | Vehicles   |
| lasers  | Hot water / steam  |
| Lifting equipment   | Welding equipment  |
| Ladders / steps   | Working at height  |
| Lone working  | Working near / above deep water                                    |

4. This is by no means an exhaustive list and is intended as an aid to drawing up the contract and deciding on suitable precautions.

## **OTHER ISSUES TO CONSIDER**

Accident and incident reporting - how will this be achieved?

Booking in and out - important from both a security and safety point of view

Boundaries and restricted areas - demarcation

Building Control Applications - seek appropriate advice from Building Consultancy

Cash storage - both contractor's and Poole Housing Partnership's

Communications - Site contact needs to be identified

Competency of contractors including specific training - needs to be checked at the selection / tendering stage

Complaints - procedure should be established with the site contact

Documentation and notification

Emergency, fire and rescue procedures - share information with the contractor

First aid procedures - contractor is responsible for their own first aid arrangements

HSE Approved Codes of Practice / guidance - all work should be in accordance

Industry guidance / best practice - where relevant and appropriate should be followed

Lighting requirements - in particular during winter months, to be supplied where scaffolds are on public footpaths and access points into buildings

Materials storage, handling and disposal

Permits to work - i.e. confined spaces, hot work

Personal Protective Equipment - hard hats, safety boots, gloves, visors/goggles/safety spectacles, high visibility jackets etc., where appropriate

Planning Applications - seek advice from Planning Design and Control Services

Public Liability and Employee Liability insurance - check with Financial Services

Relevant British / European Standards (BS / EN)

Restrictions on working hours / areas - high risk activities should where possible be outside normal working hours or in restricted area.

Safe access and egress for employees, pupils, service users, visitors and contractors - including when contractors working at height

Security - physical and personal

Security barriers / fencing - hazardous areas should be cordoned off to prevent unauthorised access

Site specific instruction - based on needs of individual premises

Site meetings - should be held regularly to discuss progress and problems

Site huts - location, ventilation, gas appliances

Special terms and conditions of the contract - as appropriate

Stopping Work - agree in advance procedure with contractor

Safe use, handling and storage of hazardous / flammable chemicals / substances

Use of building's electricity supply - how will this affect normal use?

Use of building's other main services

Waste disposal including special waste - need for Copy of Consignment Note

Warning signs - in particular where work is carried out in occupied buildings and on security barriers and fencing

Welfare facilities - minor works acceptable to use building facilities, but where major works undertaken, contractor should provide their own.

**SMALL SCALE WORKS PROCEDURE**

1. For simple, short duration, low cost and low risk works which may not warrant the drawing up of a detailed contract, the procedure detailed below can be used / adapted. It is important however, that the Project Manager discusses the works with the contractor and identifies the significant hazards associated with the works and agrees a safe system of work. **This will allow the contractor to adequately price for the works.** However, the requirements of the policy and principles contained in the guidance must be followed.
2. The Poole Housing Partnership will only use competent contractors who have proved able to discharge their primary responsibility to safeguard their employees and other persons who may be affected by their undertaking. Contractors will be required to provide evidence of their competency by completion of a standard 'Contractor Selection Questionnaire'. Amongst other things, contractors will be required where necessary to supply examples of risk assessments, method statements, statutory licences / certificates, training records, references, etc.
3. It may be helpful to provide contractors with a copy of 'Guidelines for Managing Contractors' - see Appendix 8.
4. A copy of Document 1 must be issued to contractors prior to all planned works being undertaken, in order that any potential hazards are identified - if no hazards are present enter '**NONE**'.
5. A safe system of work / method statement shall be agreed between the Project Manager and contractor before work commences.
6. All contractors shall have insurance cover for Employer's Liability and General Third Party Risks to an agreed minimum limit. Evidence of cover is required as is a thirty day notice of cancellation. Further advice on insurance cover requirements is available from the Poole Housing Partnership's Insurance Risk Manager in Financial Services.

**Job Ref No** .....

**Document 1**

**Nature of work:** .....

.....

.....

**SMALL SCALE WORKS PROCEDURE**

Contractors should be aware of the hazards normally associated with their work. The Poole Housing Partnership’s Project Manager in consultation with the contractor must identify any hazards associated with the premises, activities or processes carried out. Contractors should also declare any hazards arising from their work which might affect others so they can be discussed and adequate measures agreed with the Project Manager.

***Potential Hazards***

The following hazards have been identified:

|  | Please specify |
|--|----------------|
| Working at height  | -              |
| Fragile roof   | -              |
| Unprotected edges  | -              |
| Work with asbestos   | -              |
| Work in confined spaces  | -              |
| Work with hazardous substances   | -              |
| Hot Work   | -              |
| Demolition   | -              |
| Excavation   | -              |
| Out of hours working   | -              |
| Other contractors activities / other hazards   | -              |
| Others persons on site such as Poole Housing Partnership - employees, pupils, service users, other, visitors |                |
| Other as appropriate   | -              |

Declaration: The safety implications of the hazards identified have been discussed and appropriate measures to minimise risks have been agreed between the Project

Manager and the contractor. These have been recorded in the Risk Assessments and Method Statements for the work.

Signed on behalf of Poole Housing Partnership

Name: Position:

Signature: Date:

Signed on behalf of Contractor

Name: Company:

Signature: Date:

## **CONTRACTOR QUESTIONNAIRE AND EVALUATION GUIDANCE**

### **1. CONTRACTOR SELECTION QUESTIONNAIRE**

- 1.1. The *Contractor Selection Questionnaire (Appendix 5)* provides a means of gathering information about contractors in a consistent manner. It will enable potential contractors to provide you with the information you need, in order to make an assessment of each contractor's suitability (competence), based on a comparison of like for like.
- 1.1. Selection questionnaires can run to many pages - they may include questions about the contractor's competence, current contracts, equal opportunities, personnel matters, customer care, health, safety and welfare, quality control / quality management systems and possibly environmental policy.
- 1.1. The selection questionnaire concentrates on health and safety questions that should be asked and the documentation that should be requested of contractors. These questions should be included in any pre-contract questionnaire.
- 1.1. The selection questionnaire where appropriate should be used:
  - to compile an approved list
  - at the pre-tender stage
  - at the tender stage
- 1.1. Questionnaires sent to contractors at the pre-tender stage tend to be more concise - a more detailed tender questionnaire tends to be sent at the tender stage to those shortlisted. Relevant questions should be asked at either the pre-tender or tender stage but should not be asked twice. It is therefore recommended that a shortened version is used by those planning to use the questionnaire at the pre-tender stage.

### **1. CONTRACTOR EVALUATION CHECKLIST**

- 1.1. Once the questionnaires and any relevant information and documentation are returned they should be evaluated in a consistent manner in order to enable a fair comparison between the various tendering organisations. The evaluation must be conducted by a competent person(s) with adequate knowledge of the relevant:
  - Health, Safety and Welfare legislation
  - Approved Codes of Practice
  - HSE Guidance Notes
  - Industry Best Practice
  - British / European Standards
  - Specific requirements of the project
- 1.1. *An indication of competence is whether a contractor is a member of a trade association / professional body, however this should not be the only criteria for assessing competency.*

1.2. The *Contractor Evaluation Checklist (Appendix 6)* provides a number of questions to enable evaluation of the adequacy of the contractors' health, safety and welfare arrangements. The form incorporates columns for scores and a suggested scoring system is shown below:

- ⇒ 10 - Exceptional, innovative
- ⇒ 9 - Very good
- ⇒ 8 - Generally good with no apparent weakness
- ⇒ 7 - Generally very good but lacking some fine detail
- ⇒ 6 - Satisfactory
- ⇒ 5 - Barely adequate
- ⇒ 4 - Inadequate
- ⇒ 3 - Poor
- ⇒ 2 - Serious deficiencies
- ⇒ 1 - Totally inadequate
- ⇒ 0 - No relevant response

**1.1. Those organisations who score less than 60% will need closer examination as to their competency to undertake the work.**

1.1. Once the evaluation is completed, a summary sheet of all those who were invited to tender, with all their individual scores, any minimum standards set and particular points to note should be produced. The summary sheet should also identify the final successful contractor. Where any organisations have not been considered, the reasons for this should be clearly set out.

## **1. KEY POINTS**

1.1. The selection of the final contractor must be based on a balance between the cost of the service and the quality of the service provided (including issues of technical, financial and health and safety competence).

1.1. Evaluations should be undertaken using a set formula to produce an overall score which takes into account the specific requirements of the contract considering only the details supplied on tender documentation. This will ensure all tenders are treated equally.

1.1. References should be followed up as a further check as to the competency and actual contract performance of potential contractors.

1.1. Particular attention should be given to prospective contractors' technical competence in order to assess health and safety implications. Where appropriate the qualifications, experience and training of all levels of staff (from senior management to operatives) should be checked and supported by copies of certificates, training records, etc.

1.1. Accurate records must be kept at every stage of the evaluation process and these should be kept after the contract has been awarded. This will provide evidence that

all tenders were treated consistently throughout the process in the event the result is challenged.

## **2. SUMMARY**

1.1. The Contractor Selection Questionnaire and Evaluation is intended to provide a framework which individual Units and Schools can tailor to meet their own specific requirements. The questions can be incorporated into a more detailed and complex questionnaire or be used on its own when selecting contractors and for small cost and low risk activities.

1.1. It is important that health, safety and welfare should be given equal weighting with financial and quality considerations when selecting contractors for work on behalf of the Poole Housing Partnership. Failure to select competent contractors has potentially grave consequences and could lead to enforcement action by the Health and Safety Executive.

| <b>POOLE HOUSING PARTNERSHIP<br/>CONTRACTOR SELECTION QUESTIONNAIRE</b>  |                                      |
|--|--------------------------------------|
| <b>Contract:</b>   | <b>Ref No:</b>                       |
| <p><b>1.</b> Please provide the following details about your company:</p> <p>Name: _____ Companies House Registration: _____</p> <p>Company Size (Turnover): _____ Number of employees: _____</p> <p>Names of Directors: _____ Telephone No: _____</p>   |                                      |
| <p><b>2.</b> Please attach details of your organisation’s experience in the area that you are tendering for, including details of previous contracts and referees.</p>   | <p>Attached:<br/><b>YES / NO</b></p> |
| <p><b>3.</b> Please attach a copy of your company’s most recent statement of intent and organisation sections of your health and safety policy. Please include the qualifications and experience of the person appointed to provide competent assistance under regulation 7 of the <b>Management of Health and Safety at Work Regulations 1999</b>.</p>  | <p>Attached:<br/><b>YES / NO</b></p> |
| <p><b>4.</b> Please enclose copies of your safety arrangements relevant to this contract.</p>  | <p>Attached<br/><b>YES / NO</b></p>  |
| <p><b>5.</b> Please provide the names and job titles of those people in your organisation with the following responsibilities.</p> <p>The person with ultimate responsibility for health and safety:</p> <p>Name: _____ Job Title: _____</p> <p>The person who would have responsibility for the day-to-day management aspects of this contract:</p> <p>Name: _____ Job Title: _____</p> <p>The person appointed to provide competent advice on health and safety issues, as required by the <b>Management of Health and Safety at Work Regulations 1999</b>:</p> <p>Name: _____ Job Title: _____</p> <p>Please provide details of the experience and qualifications of the person who will have day-to-day responsibility for the safe delivery of the contract (e.g. In the form of a curriculum Vitae).</p> |                                      |
|  | <p>Attached;<br/><b>YES / NO</b></p> |

**Appendix 5**

|     |  |                              |
|-----|--|------------------------------|
| 6.  | Please enclose sample copies of any risk assessments undertaken relevant to this contract. Include:  | Attached:<br><b>YES / NO</b> |
|     | <p>General risk assessments, as required by the <b>Management of Health and Safety at Work Regulations 1999</b>.<br/>                     Safety data sheets and <b>COSHH</b> assessments for substances that you propose to use (if applicable).<br/>                     Any other relevant assessments (e.g. manual handling, noise).</p> |                              |
| 7.  | Please provide details of health and safety training provided to all managers and staff, and sub-contractors where used. Please also include details of your plans for further training if you win the contract.   | Attached:<br><b>YES / NO</b> |
| 8.  | Do you anticipate using contractors on this contract?  | <b>YES / NO</b>              |
|     | If so, please provide details of the procedures you will use to ensure that they are competent and managed correctly.  | Attached:<br><b>YES / NO</b> |
| 9.  | Please provide details of the accident reporting and investigation procedures to be adopted for this contract.   | Attached:<br><b>YES / NO</b> |
| 10. | Have any enforcement notices been issued or legal proceedings taken against your organisation by the Health and Safety Executive / Local Authority in the last three years?  | <b>YES / NO</b>              |
|     | If so, please provide details.   | Attached:<br><b>YES / NO</b> |
| 11. | Please provide details of any accidents / incidents to employees and non-employees reported by, or on behalf of your organisation to the Health and Safety Executive / Local Authority during the last three years (as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations).                               | Attached:<br><b>YES / NO</b> |
| 12. | Please provide details of your fire and emergency arrangements and procedures that you will use on this contract.  | Attached:<br><b>YES / NO</b> |

| <b>POOLE PARTNERSHIP</b>  |               |              |
|---|---------------|--------------|
| <b>CONTRACTOR EVALUATION CHECKLIST</b>  |               |              |
| <b>Statement of Safety Policy</b>   | <b>Yes/No</b> | <b>Score</b> |
| <b>1. Company Details</b>   |               |              |
| a. Are the details supplied suitable and sufficient?  |               |              |
| <b>2. Organisation's Experience</b>   | <b>Yes/No</b> | <b>Score</b> |
| a. Can the organisation demonstrate suitable experience?  |               |              |
| b. Are the references satisfactory?   |               |              |
| <b>3. Statement of Safety Policy</b>  | <b>Yes/No</b> | <b>Score</b> |
| a. Is there a clear declaration of intent?  |               |              |
| b. Does it include the safety of employees?   |               |              |
| c. Does it include the safety of non-employees?   |               |              |
| d. Does it include the requirement for employee co-operation?   |               |              |
| e. Are there appropriate arrangements for reviewing the policy?   |               |              |
| f. Is it signed by the most senior person in the organisation?  |               |              |
| g. Is it dated within the last three years?   |               |              |
| <b>3.1 Safety Organisation</b>  | <b>Yes/No</b> | <b>Score</b> |
| a. Is there a traceable management structure?   |               |              |
| b. Are there clearly defined duties?  |               |              |
| c. Is health and safety the responsibility of a senior person?  |               |              |
| d. Has an individual been appointed as the "competent person" under regulation 7 of the <b>Management of Health and Safety at Work Regulations 1999</b> ? |               |              |
| e. Is the person appointed to provide competent advice under the <b>Management of Health and Safety at Work Regulations 1999</b> , suitably qualified?    |               |              |
| f. Is there a person appointed with day-to-day responsibility for health and safety?  |               |              |
| <b>4. Contract Safety Arrangements</b>  | <b>Yes/No</b> | <b>Score</b> |
| a. Are there arrangements to cover all work activities included in the contract?  |               |              |
| b. Are they suitable and sufficient?  |               |              |
| c. Do they include risk assessments/  |               |              |
| d. Do they include safe systems of work / method statements?  |               |              |
| <b>5. Contract Safety Management</b>  | <b>Yes/No</b> | <b>Score</b> |
| a. Is the person with ultimate responsibility the most senior person in the Company?  |               |              |
| b. Has the person with day-to-day responsibility for safety of the contract, the experience, qualifications and resources to carry out this function?     |               |              |
| <b>6. Risk Assessments</b>  | <b>Yes/No</b> | <b>Score</b> |
| a. Do they cover all work activities?   |               |              |
| b. Are they suitable and sufficient?  |               |              |
| c. Are there means to review the assessments and are they in date?  |               |              |

| 7. Health and Safety Training   |  | Yes/No | Score |
|---|--|--------|-------|
| a. Managers:  | Have they received training?<br>Is that training suitable and sufficient?  |        |       |
| b. Staff:   | Have they received training?<br>Is that training suitable and sufficient?  |        |       |
| c. Contractors:   | Have they received training?<br>Is that training suitable and sufficient?  |        |       |
| d.  | Are the further training arrangements suitable and sufficient?   |        |       |
| 8. Management of Contractors  |  | Yes/No | Score |
| a.  | Is there a system to qualify sub-contractors?  |        |       |
| b.  | Is the system suitable and sufficient?   |        |       |
| c.  | Are the arrangements to supervise sub-contractors suitable and sufficient?   |        |       |
| 9. Accident Reporting and Investigation   |  | Yes/No | Score |
| a.  | Is there a written accident reporting system?  |        |       |
| b.  | Does it include arrangements to satisfy statutory requirements?  |        |       |
| c.  | Does it include arrangements to integrate their system with the client's?  |        |       |
| d.  | Does it include arrangements for accident investigations?  |        |       |
| 10. Enforcement Notices   |  | Yes/No | Score |
| a.  | Are the number of prosecutions and/or enforcement notices served on the company consistent with its size and activities? |        |       |
| 11. Fire and Emergency Arrangements   |  | Yes/No | Score |
| a.  | Are there written fire and emergency arrangements?   |        |       |
| b.  | Are they suitable and sufficient?  |        |       |
| c.  | Are they suitable for integration with the client's?   |        |       |
| <p><b><u>Total Score</u></b></p> <p><b>If the total score is below 60%, a close examination of the organisation's arrangements for health, safety and welfare must be undertaken. Seek appropriate advice as necessary.</b></p> |  |        |       |
| General Comments  |  |        |       |
|   |  |        |       |

**HEALTH, SAFETY & WELFARE  
INSPECTION REPORT FORM**

1. Location / Site of work inspected:

2. Date / time of inspection:

3. Description of works inspected (include any plant, equipment or materials inspected):

|   |                          |                 |
|---|--------------------------|-----------------|
| 4. Was the work being carried out safely? | <input type="checkbox"/> | <b>Yes / No</b> |
|---|--------------------------|-----------------|

5. Matters which give rise to any health & safety risks (Additional comments on rear of form)

6. Details of action taken as a result of matters identified in 5 above:

7. Name of person informed:

8. Position of person informed:

9. Details of any further action considered necessary:

10. Name of person carrying out the inspection:

11. Position of person carrying out the inspection:

10. Unit / Establishment:

11. Signature: