

The Auriga Academy Trust

Contractor Management - Managing and Monitoring Contractors

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Should you have any queries regards this policy, note an omission or wish to propose an amendment, please email estates@aurigaacademytrust.org.uk

Background

This Policy and supporting Guidance notes is designed to help Trust schools understand the hazards presented by contractor work on site, to assess the risks and to help put in place suitable control measures to reduce and manage those risks.

Legal Requirements

Any person or company commissioned by an organisation to provide discrete services within the terms of a legally binding contract is defined as a contractor for the purposes of this policy. The Health & Safety at Work etc. Act 1974 requires employers to ensure the safety of their employees, other people such as contractors and members of the public affected by the employer's business. Contractors are obliged not to endanger themselves, their colleagues and other people affected by their work.

Policy Format

The use of contractors is widespread across most organisations. In some cases contractor staff may be based permanently at a site, for example cleaning or catering staff, or contractors may be engaged for one-off pieces of work, either short term repair or installation work, or a major programme of demolition and construction. As such this document is split into four parts, a general statement of policy and sections covering the most common circumstances under which contractors are used.

Part 1: General Statement of Policy for contractors working on school sites.

Part 2: Regular contracts on site; this is broken down further to include:

- a) Contractors either based or largely based on site, for example cleaners and caterers
- b) Contractors that undertake regular site visits for example, those carrying out statutory inspection & testing, (fire alarm inspection & maintenance or water bacterial testing etc). In some cases this may be the same person visiting site each time but may not always be the case.

Part 3: Contractors engaged for one-off and/ or short duration work, (this work may fall under the Construction Design Management Regs).

Part 4: The use of contractors for longer duration/ large scale work, such as demolition, refurbishment and/ or construction work. This work would definitely be covered by the Construction Design Management Regs and includes:

- Work organised in-house by the school
- Work organised by an outside agency, such as the Local Authority, Achieving for Children or the Diocese.

Part 1: Statement of Policy

The Auriga Academy Trust (the Trust) maintains high standards of health & safety and requires contractors and their staff to undertake their work in a way that does not put themselves or others at risk.

Arrangements are in place in order that any work undertaken on school premises is carried out in a way that does not put school pupils or staff at risk and prevents unauthorised persons from entering the area where work is being undertaken.

The standards and rules outlined in this policy are in addition to any particular agreed systems of work for a specific job. The school will appoint a responsible representative for liaison with the contractor and their staff.

The school reserves the right to require the removal from the premises of any members of the contractor's staff who do not comply with the school requirements, or who put themselves, or others, at risk. The school similarly reserves the right to require the removal of any plant, equipment, or material, which, in the opinion of the school representative, is dangerous when used in the way intended by the contractor.

Selection of Contractors

Each school within the Trust understands it has a legal responsibility to manage work involving contractors so as to minimise risks to employees, the contractor's employees and others, such as pupils and visitors who may be affected by the work.

This responsibility extends to the choice of a contractor who is competent to undertake the work safely and to the exchange of information between the contractor and the school.

When choosing contractors directly, the school makes use of a Safety Systems in Procurement, (SSiP) pre-assessment scheme, such as CHAS (Contractors Health and Safety Scheme) www.chas.co.uk in order to ensure that the organisation chosen has the legally required health & safety standards in place.

In addition to this the school ensures the contractors are suitably qualified, e.g. NICEIC for electricians, Gas Safe Registered for gas contractors.

In planning work, the school requires the contractor's method statements and risk assessments in advance of the commencement of work.

Provision of Emergency Information

The school fire procedure, including the method of raising the alarm, the location of the fire alarm call points, fire extinguishers, escape routes and the fire assembly point, together with the action to be taken if the alarm sounds, will be explained by the school representative before work on the premises is started.

Where applicable the school representative will also identify the location of any known asbestos in the building / on the site and instruct contractor staff that this must not be disturbed or damaged in any way.

Given the nature of the schools within the Trust additional information provided may include:

- Any particular restrictions on the time or location in which the work is done, for example, because of the presence of pupils, or employees getting to and from the place of work;

- Any restrictions on entry into areas of site or use of school equipment/ services;
- Arrangements for reporting accidents
- Arrangements for contacting the school representative in the event of an emergency

Monitoring of Contractors

All contractors on site, whether engaged directly by the school or by a third party receive regular monitoring. The form and frequency of the monitoring is commensurate with the level of risk of the activity and will be agreed as part of the work planning process.

Monitoring undertaken by the Trust is limited to observing general conduct, safe working behaviours and compliance with agreed site rules. It does not include, nor should it be interpreted as, technical supervision or verification of the contractor's professional methods. Contractors remain wholly responsible for ensuring that all works are carried out in accordance with relevant legislation, guidance and industry standards, and for providing evidence of such compliance if requested.

The purpose of monitoring is to establish that the agreed standards are being achieved and to take action if they are not. Where monitoring indicates poor standards this should be addressed with the contracting company concerned and, if necessary, work should be stopped pending the problems being resolved. Where poor standards are identified, the frequency of monitoring should be increased until confidence is established in the standards being maintained.

It is the Policy of the Trust to refuse to engage contractors to undertake work who are not competent to undertake the work safely, even if their quotation for the work involved is the lowest available.

Part 2: Regular Contractors Policy

There are a number of ways in which schools within the Trust can manage the engagement of regular site contractors. These include, being part of a Framework Agreement, buying into a contract managed by a third party organisation (usually the host site) and/ or buying into a Building Management/ Facilities Management contract. Where a school make use of any of the above it must confirm:

- That the lead organisation has suitable assessment processes in place
- How the contract key performance indicators are monitored and is the school expected to play any part in this?
- How is the school kept informed of when contractors will be on site and the activities they are undertaking?
- How is the school kept informed of the findings of any testing and/ or inspection carried out?

On Site Contractors Engaged as part of a Framework Agreement or Facilities Contract:

Where activities, such as cleaning and catering are carried out at the school by contractors engaged as part of an outside contract managed by, for instance, the host school. These activities are carried out by a team of contractors based at the school with their own on-site manager/ supervisor.

Overall monitoring of the key performance indicators is carried out by the managing organisation. Day to day enforcement of health & safety standards for contractor staff is the responsibility of the contractor company.

All contractor organisations must be provided with a copy of the Code of Conduct for Contractors on School Site(s). Where contractors are found not to be complying with this, the work can be stopped and, if required the contractor asked to leave the site.

On Site Contractors Engaged Directly by the School:

Where there are managed contracts in place for activities, such as cleaning and catering. These are carried out at the school by contractors engaged directly by the school.

These activities are carried out by a team of contractors based at the school with their own on-site manager/ supervisor.

All contractor organisations must be provided with a copy of the Code of Conduct for Contractors on School Site(s). Where contractors are found not to be complying with this, the work can be stopped and, if required the contractor asked to leave the site.

Monitoring of the key performance indicators is carried out by the school. Day to day enforcement of health & safety standards for contractor staff is the responsibility of the contractor company.

Regular Contractors Undertaking Site Visit - Engaged as part of a Framework Agreement or Facilities Management Contract:

Where activities, such as fire alarm testing and inspection/ water system testing and inspection, are carried out at the school by contractors engaged as part of an outside contract managed by, for instance, the host school. These activities are carried out by contractors that make regular visits to the school site.

Overall monitoring of the key performance indicators is carried out by the managing organisation. Day

to day enforcement of health & safety standards for contractor staff is the responsibility of the contractor company.

Upon arrival at site all contractors are required to sign in and are provided with instruction on emergency arrangements etc.

All contractor organisations are provided with a copy of the Code of Conduct for Contractors on School Site(s). Where contractors are found not to be complying with this, the work can be stopped and, if required the contractor asked to leave the site.

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All contractor organisations are provided with a copy of the Code of Conduct for Contractors on School Site(s). Where contractors are found not to be complying with this, the work can be stopped and, if required the contractor asked to leave the site.

Part 3: One-off or Short Term use of Contractors Policy

The Trust understands that there are hazards associated with any contractor work and that the risk of incident is increased when the contractors are unfamiliar with the site and are there to undertake short duration repair and/ or upgrade work.

When identifying contractors directly there are arrangements in place, (detailed in Part 1) to ensure that they are suitable and competent to carry out the work.

It is understood that any construction, demolition and/or refurbishment, even small scale or short duration will fall under the requirements of the Construction Design Management Regulations. In order to meet its legal obligations the school should make use of the Trust's Health & Safety Consultant ([Action>HR](#)) CDM Guidance.

A Permit to Work, (PtW) System is a formal written system used to control certain types of work that are potentially hazardous. The types of work involved are typically those associated with non-routine maintenance or contractor activities. The Permit to Work Form details the work to be done and, in particular, the precautions to be taken. For the following types of work the school requires a Permit to Work to be in place:

- Hot work such as welding, flame cutting, the use of bitumen boilers blow lamps or of hot air paint strippers.
- The use of cartridge operated tools.
- Work in confined spaces such as entering tanks, drains, manholes, sumps, chimneys, ducting, boilers, or compressed air receivers.
- Work in lift shafts or under the lift cage.
- Work on steam plant or pipework.
- Work with high pressure water jetting equipment.
- Digging trenches and excavations or drilling boreholes.
- Work on roofs or involving scaffolding, or mobile, or suspended access equipment (except where the roof has permanent access arrangements and fixed guard railing).
- Work near overhead cables.
- The use of mobile cranes.
- Work on live electrical equipment.

When the school is organising the work directly it will be responsible for managing the Permit to Work system; where the work is being organised by a third party, such as the Local Authority or host school, the school will ensure there is an appropriate permit system in place.

The school will ensure that monitoring arrangements are discussed as part of the work planning process. Prior to any work starting it is confirmed that any pre-arranged safety measures, such as Personal Protective Equipment and barriers etc are in place. Checks will take place throughout the work in order that the school can assure itself that work is taking place in line with the agreed risk assessments and method statements.

Part 4: Use of Contractors for Large Scale Work Policy

Where large scale work is taking place at the site, the Trust understands that it has legal duties and responsibilities under the Construction Design Management Regulations.

Depending on the work taking place and the organisation initiating and managing the work, the school's duties and responsibilities may vary. To this end the school makes use of the CDM Guidance provided by the Trust's Health & Safety Consultant ([Action>HR](#)) and each project is dealt with on a case by case basis.

APPENDIX 1: Identifying Suitable Contractors Guidance Notes

It must be established that the contractor is competent to manage health and safety matters both generally and in relation to the particular work involved. General health and safety standards can be assured by the use of organisations that are registered on a Safety Systems in Procurement, (SSiP) database. One example of this is CHAS, (Contractor Health & Safety database) another is Constructionline, however, when using Constructionline the user must select only those contractors that have achieved the higher level of Health & Safety accreditation, the lower level does not meet the requirements of SSiP.

The competence of the contractor for the particular work involved must be considered in relation to the type of work required to be undertaken and the normal work undertaken by the contractor. For example, a competent gas contractor may be well experienced in gas safety work, but may not have the competence to erect scaffolding to access roof mounted gas heaters. The manager responsible for engaging the contractor should therefore make enquiries as to the training of the contractor's staff to work on, or erect, scaffolding.

The extent to which enquiries are made about the contractor's competence depends on the nature of the risks of the work involved; the higher the risks involved the greater assurance needed in terms of competence.

Where the work involved is significant construction, or building maintenance work falling within the requirements of the Construction (Design & Management) Regulations 2015, then the appointed Principal Designer is responsible for advising on the competence of the Principal Contractor to be appointed.

APPENDIX 2: Construction Design Management:

Managed In-House

It is important for the school to identify whether the Construction (Design & Management) Regulations apply to any building projects that the school manages itself. Guidelines for schools on these regulations are available on SLA online. As client, the school has duties to provide pre-construction information and appoint competent designers and contractors. For projects involving more than one contractor, the school will need to appoint a Principal Designer and a Principal Contractor.

Managed by an Outside Agency

Large-scale school building works undertaken by another organisation, such as, the Local Authority / Achieving for Children / the Diocese should be managed in a formal way by a consultant(s). Meetings should be held in the school with representatives from the initiating organisation, key school staff, the consultant, the Principal Designer and Principal Contractor (as required by the Construction (Design and Management) Regulations 2015 (CDM)). The Construction Phase Plan for the work is provided by the Principal Contractor. For work that is notifiable under the Regulations, the Local Authority should ensure the HSE is notified of the project.

On completion of the work the school **must** be provided with a 'health and safety file' which provides all relevant information about the new building/extension, e.g. future maintenance, identifying where specialist equipment is required to ensure the safety of operatives, etc.

Use of Construction Design Management (CDM) Guidance

For construction, demolition and refurbishment works the CDM regulations apply. A full guidance document for CDM, that must be followed is available from the Trust's Health & Safety consultant ([Action>HR](#)). The guidance covers:

- Identification of the roles under CDM
- Identification of the Client
- Establishing the legal duties of each role under CDM
- Assessment of competency
- Contents of, Pre-Construction Information, Construction Phase Plan and the Health & Safety File

Requirement to Monitor

Even when the school is not taking on the role of Client, (as defined in CDM) there is still a requirement to monitor activities taking place on school site(s).

Contractors should still be provided with the Code of Conduct for Contractors on School Site(s) and the school should follow the monitoring guidance in Guidance Box, "Monitoring Standards of Health & Safety during work" in Part A of this document.

APPENDIX 3: Permit to Work

Permit Identifier:

Permit Issuer Copy:	
Permit Applicant Copy:	
Permit Number:	

Guidance

Identifying the Permit:

Both the permit issuer and the permit applicant, (the contractor or member of school staff undertaking the work) **must** be issued with and retain a copy of the permit and the relevant checklist. The tick box above should be used to identify each copy.

In some cases a work activity will take place over several days. In these situations it is good practice to sign-off the permit at the end of each day and issue a new permit the next; this is when the permit number should be used.

Details of work:

Name of permit issuer:	
Name of permit applicant/ organisation:	
This permit is valid between the following dates and times only	Start date and time End date and time:

Location of work:	
Personal Protective Equipment/Plant/ Equipment/ Systems involved:	
Description of work to be undertaken:	

Permit Requirements:					
Work with asbestos	A	N	Work in lift shafts	H	N
Cartridge operated tools	B	N	Work on Live electrical equipment	I	N
Confined spaces	C	N	Mobile cranes	J	N
Digging trenches and excavations	D	N	Work near overhead cables	K	N

High pressure water jetting	E	N	Use of lasers Use of radioactive materials or radiation generators NB: Both use of lasers and work with radiation are included in the same checklist	L	N
Hot work	F	N	Work on remotely isolated electrical equipment	M	N
Roofwork, scaffolding and access equipment	G	Y	Work on steam plant and pipework	N	N

Confirmation all relevant documentation is attached:	
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Guidance

Identify all types of work involved:

The more information that can be included in the permit the less likely it is there will be misunderstanding or confusion. As well as including a description of the work taking place and the equipment involved, the "tick-box" table above should be used to identify all of the checklists required.

Copies of all documents:

For the permit to be valid it must include copies of any risk assessment and method statements provided by the contractor or carried out by the school. There must also be copies of the completed checklists.

Work with explosive checklist:

There is no PtW checklist for working with explosives. Due to the high risk nature of working with explosives it is completely prohibited for school staff. Where contractors are engaged to carry out explosive work, advice must be obtained from a specialist consultant.

Permit Declarations:

Permit Applicant - Prior to Commencement

I confirm that safety precautions, (as specified in the attached documents) are in place and will be maintained for the duration of the work.	
Permit Applicant, (print name):	
Signature:	Date:

Permit Issuer - Prior to Commencement

Permission is given for the detailed work to commence:	At:
	Until:

Permit Issuer, (print name):	
Signature:	Date:

Permit Applicant - On Completion

All work relating to this permit has been completed and the area is in a safe condition	Yes/ No/ Status:
The plant/ equipment has been restored to normal operation	Yes/ No/ Status:
Permit Applicant, (print name):	
Signature:	Date:

Permit Issuer - On Completion

I have checked the work area and confirm it is in safe condition. This permit is signed-off	
Permit Issuer, (print name):	
Signature:	Date: