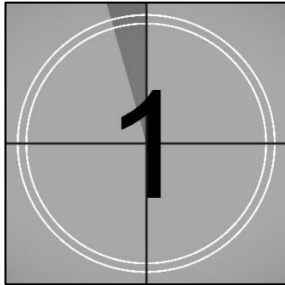


Contractor Approval Procedure



Before the Work

Click the image for guidance what to do before any proposed work.



Contractor Competency Form

Click the image for guidance on how to duplicate, send and retrieve data from the form.



Contractor Competency Form - Guidance

Click the image for guidance on evaluating the results of the Contractor Competency Form.



During the Work

Click the image for guidance on what to do during the work.



After the Work

Click the image for guidance on what to do after the work

Before the Work

Before Selecting appropriate competent contractors for, the work the following tasks should be undertaken:

IDENTIFY all aspects of the work you want the contractor to undertake.

CONSIDER the Health and Safety implications of the work. The level of risk will be directly related to the nature and complexity of the work.

NOTE - Potential contractors should be provided with the above information to ensure they fully understand what is expected of them.

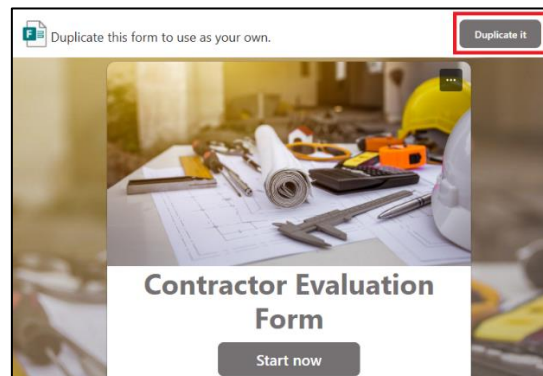
Contractor Competency Form

The contractor competency section of the procedure is completed via **Microsoft Teams**, the guidance below will help you complete it:

Duplicating the Form

Below are instructions on how to duplicate (this allows you to be able to view the results) and use the form:

1. Click [HERE](#) to load the Microsoft Forms page.
2. Click '*Duplicate it*' to save the form to your own Microsoft Forms account.

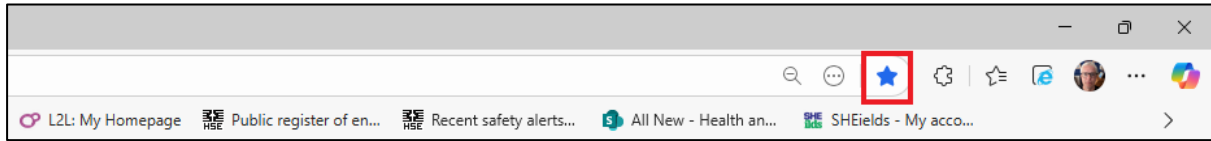


Locating the Form

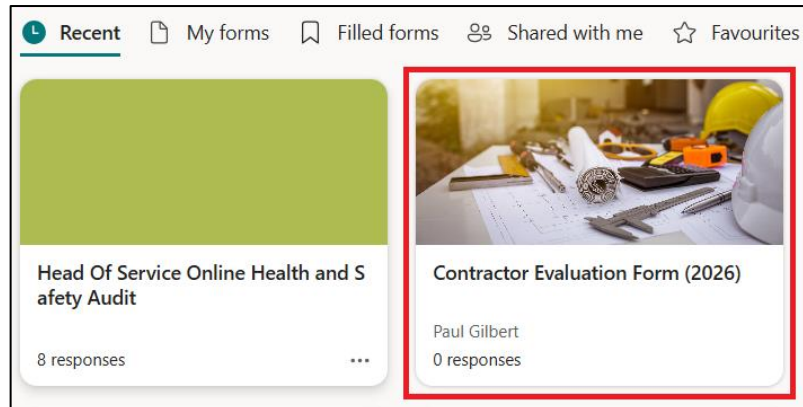
1. Click on the link below to load your personal Microsoft Forms page:

<https://forms.microsoft.com>

NOTE - Bookmarking the page will make it easier to locate.

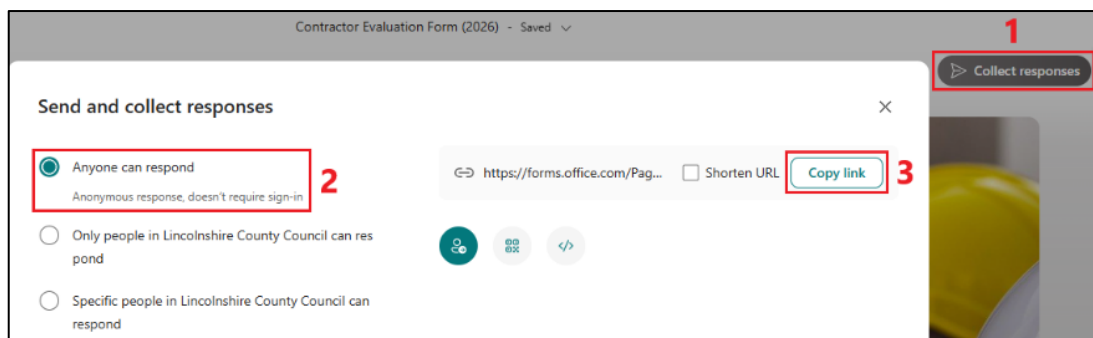


2. Click on the 'Contractor Competency Form' to open it.



Completing the Form

Sending the form to the contractor:



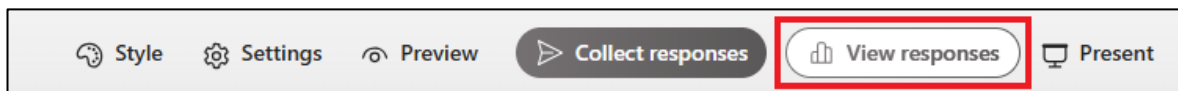
1. To send the form for others to complete click 'Collect Responses'.
2. Ensure that 'Anyone can respond' is selected.
3. Click 'Copy link' and paste the link into an email.

Requesting Documentation

Email the contractor and request the following documentation:

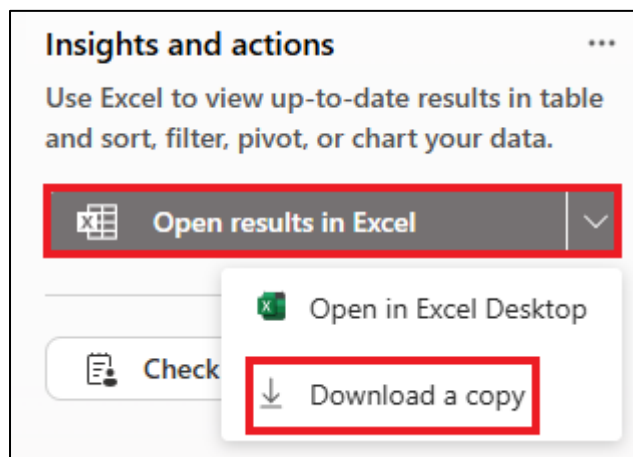
- Health and Safety Policy
- Risk Assessment
- Procedure/Method Statement
- Safe System of Work
- Lone Working Procedure
- Employers' Liability Insurance Certificate
- Health and Safety Qualifications
- References
- Trade Association/Professional body Membership

Retrieving the Data

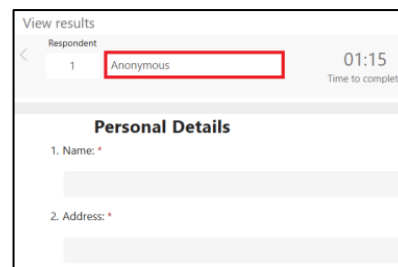
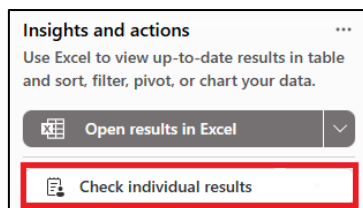


1. Click '*Responses*' (the number denotes the number of responses).

2. To download a copy of the results in Excel click '*Open results in Excel*' and '*Download a copy*'.



- Alternatively to view the data on Microsoft Forms click '*Check individual results*'.
- Use the drop-down menu to select a respondent.



Contractor Competency Form - Guidance

Health and Safety Policy	
Question	Guidance
Do you have a Health and Safety policy?	<p>A Health and Safety policy sets out an organisations commitment to Health and Safety by:</p> <ul style="list-style-type: none"> ▪ Statement of Intent - the overall commitment to managing Health and Safety ▪ Roles and Responsibilities - names, positions and roles of those responsible for Health & Safety ▪ Arrangements - practical arrangements in place to enable Health and Safety aims/objectives to be achieved
Is the Health and Safety policy signed by the Director or partner who has overall responsibility for Health and Safety?	The signature of a Director or partner demonstrates their commitment to Health and Safety compliance and shows they understand their responsibilities as well as those of their employees.
Has the Health and Safety policy been reviewed within the last three years?	A regularly reviewed Health and Safety policy demonstrates an ongoing commitment to safety.
Does the policy provide adequate arrangements to effectively cover the hazards of the proposed works?	A Health and Safety policy should not be generic, it must be specific to the company and the activities it carries out.
Does the policy clearly define high standards for the Health and Safety responsibilities of Managers, Supervisors, Employees and Sub-Contractors?	A high standard of Health & Safety can only be successfully achieved when each organisational level understands their role and responsibility.

<p>DOCUMENTATION Health and Safety policy</p>	<p>Click HERE to view an example of a Health and Safety Policy.</p>
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Risk Assessment/Procedures	
Question	Guidance
<p>Do they have a suitable and sufficient risk assessment for the proposed work?</p>	<p>Under the Management of Health and Safety Regs organisations are required to make: a suitable and sufficient assessment of:</p> <p>a) the risks to the health and safety of his employees to which they are exposed whilst they are at work; and b) the risks to the health and safety of persons not in his employment arising out of or in connection with the conduct by him of his undertaking.</p> <p>A '<i>suitable and sufficient</i>' risk assessment should identify the risks arising from or in connection with work. The level of detail in a risk assessment should be proportionate to the risk. The level of risk arising from the work activity should determine the degree of sophistication of the risk assessment.</p>
<p>DOCUMENTATION Risk Assessment</p>	<p>Click HERE for guidance on the Risk Assessment process.</p>
<p>Do you have specific procedures/method statement that are relevant for the works you are undertaking?</p>	<p>A method statement is a beneficial way of reducing the risk when carrying out dangerous or complex work.</p>
<p>DOCUMENTATION Procedure/method statement</p>	<p>A method statement should include the following details:</p> <ul style="list-style-type: none"> ▪ Task description ▪ Hazard identification ▪ Risk assessment ▪ Control measures ▪ Step-by-step safe procedure ▪ Responsibilities ▪ Training and competence ▪ Permit-to-work systems (if required) ▪ Emergency procedures <p>Monitoring and review</p>
<p>Do you have any relevant safe systems of work?</p>	<p>A Safe System of Work (SSoW) is a formal procedure concerned with how to carry out a task safely to reduce the risk of injury, illness, or damage.</p>

	A SSoW identifies hazards and sets out step-by-step controls so employees can complete a task without harm.
DOCUMENTATION Safe System of Work	A SSoW should include the following details: <ul style="list-style-type: none"> ▪ Description of the Task ▪ Hazard Identification ▪ Risk Control Measures ▪ Roles and Responsibilities ▪ Training and Competence ▪ Personal Protective Equipment (PPE) ▪ Equipment and Materials ▪ Emergency Procedures Monitoring and Review
Do you have a lone working procedure?	A lone working procedure is a set of rules and safety measures designed to protect workers who carry out their job alone without direct supervision or immediate help.
DOCUMENTATION Lone Working Procedure	Click HERE for guidance on Lone Working.

Insurance	
Question	Guidance
Do you have Employers' Liability Insurance?	Employers' Liability Insurance is compulsory unless they are freelancers or sole traders.
DOCUMENTATION Insurance certificate	Check the certificate is current and is for the company/individual in question.

Health and Safety Competence	
Question	Guidance
Do you have access to competent H&S advice, as required under the Management of H&S regulations?	Regulations state: ' <i>appoint one or more competent persons to assist him in undertaking the measures he needs to take to comply...</i> '. This can be provided internally or by an external company.
What qualifications do the competent H&S advisory Service/Advisors have?	Regulations state: ' <i>A person shall be regarded as competent for the purposes of paragraphs (1) and (8) where he has sufficient training and experience or knowledge and other qualities to enable him properly to assist in undertaking the measures referred to in paragraph (1)</i> '. Although advisors are not legally required to be trained by law, it is highly recommended as it significantly raises their level of competence.

	Examples of qualifications: NEBOSH National General Certificate, IOSH Working Safely, NEBOSH National Diploma for Occupational Health and Safety Management Professionals
DOCUMENTATION Health and Safety Qualifications	Check any certificates are current and is for the company/individual in question.
What experience do the competent H&S advisory Service/Advisors have?	An adequate level of experience (3+ years) within the Health and Safety industry is advisable in order to provide competent advice.
Can you provide evidence of good work undertaken elsewhere? e.g., references	Good references could indicate a positive attitude and approach to Health and Safety.
DOCUMENTATION References for work undertaken elsewhere	Multiple references covering a longer period of time provides a more detailed picture of the previous works they have undertaken.
Are you a member of a trade association or professional body?	Membership of a trade association can enhance a company's reputation, as inclusion is often based on fulfilling a strict set of benchmarking criteria.
What trade association or professional body are you a member of?	Check the association or professional body is relevant and the membership is current.
DOCUMENTATION Evidence of membership to the trade association/professional body	Confirm that the membership is genuine and widely accepted and check it is relevant to the works undertaken.

Health and Safety Performance	
Question	Guidance
Have you been involved in any accidents or near misses?	A significant number of accidents and near misses can indicate a contractor's level of Health and Safety performance. However of more concern would be any patterns shown by accident reporting, as this could indicate a lack of a reviewing process and as a consequence no lessons being learnt.
Please provide details of these accidents, incidents or near misses:	Further details on any accidents, incidents or near misses can show whether: <ul style="list-style-type: none"> ▪ there are any patterns or trends. ▪ improvements have been made. ▪ they have learnt from accidents, incidents or near misses. the H&S culture is of a high standard.

Have you had any RIDDOR reportable incidents in the last 12 months?	A significant number of RIDDOR incidents can, due to their seriousness be indicative of poor Health and Safety within an organisation.
Provide further details on the RIDDOR incidents	Further details on any RIDDOR can show whether: <ul style="list-style-type: none"> ▪ there are patterns to the RIDDOR incidents. ▪ improvements have been made. ▪ they have learnt from incidents. the H&S culture is of a high standard.
Have you ever been given a Prohibition notice?	A prohibition notice means that an activity must terminate immediately until the non-compliance is satisfactorily rectified.
Was the notice issued recently?	If a notice has been issued recently it suggests current issues with Health and Safety compliance. A past prohibition notice, while of concern could potentially have resulted in improvements being made.
Provide further details on any prohibition notices	Further details will show the severity of the circumstances that led to the notice. Multiple notices may show continuing non-compliance or noticeable patterns.
Was any action taken to resolve the notice and prevent re-occurrence?	Sufficient actions to resolve any issues would represent a significant improvement in Health and Safety compliance.
Have you ever been given an Improvement notice?	An improvement notice is a formal notification of a contravention of Health and Safety law.
Was the notice issued recently?	If a notice has been issued recently it suggests current issues with Health and Safety compliance. A past Improvement notice, while of concern could potentially have resulted in improvements being made.
Provide further details on the improvement noticed	Further details will show the severity of the circumstances that led to the notice. Multiple notices may show continuing non-compliance or noticeable patterns.
Was any action taken to resolve the notice and prevent re-occurrence?	Sufficient actions to resolve any issues would represent a significant improvement in Health and Safety compliance.
Have you been prosecuted for any Health and Safety offences in the last 5 years?	A prosecution could be the result of a serious Health and Safety breach that potentially had serious consequences for those involved.
Provide further details on the prosecution	Further details will show the severity of the circumstances that led to the prosecution. Multiple prosecutions may show continuing non-compliance or noticeable patterns.
Have you been involved in any accidents or near misses?	A significant number of accidents and near misses can indicate a contractor's level of

	Health and Safety performance. However of more concern would be any patterns shown by accident reporting, as this could indicate a lack of a reviewing process and as a consequence no lessons being learnt.
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Qualifications and Training	
Question	Guidance
What Health and Safety information/training do you provide for your workforce regarding the proposed work?	The competence of the workforce has an impact on Health and Safety and Information, instruction and training is a vital control measure.

During the Work

1. **CHECK** on the work is going against what was agreed with the contractors.

Below are examples of areas to review:

Question	Guidance
Are the Risk Assessments and Method Statements being followed?	Risk Assessments and/or Method statements (shared at the start of the process) ensure contractors work safely by reducing the risk from identified hazards. If these aren't followed this potentially puts the contractor and others (including LCC staff) at risk. A good knowledge of their Risk Assessment and/or Method Statements leads to a good understanding of all the hazards associated with the work being carried out.
Are control measures being used?	The control measures form a vital part of the Risk Assessment process and should reduce the risks from the identified hazards. An example of a control measure is the use of PPE (hard hats, gloves etc), which if not used increases the risk of harm.
Are the contractors following safe working practices?	Contractors should follow safe working practices at all times to protect themselves and others around them (including LCC staff). LCC employees should report any unsafe practices they see, so they can be reported directly to the contractor.
Is the site clean and tidy?	A clean and tidy site can be indicative of a commitment to Health and Safety as well as helping to reduce accidents caused by slips, trips and falls.
Are barriers being used to protect other site users?	If a site or area of work is on or adjacent to areas accessible to employees and non-employees then barriers would be necessary. Such barriers must be

	maintained at all times by the contractor and LCC employees should be proactive if they observe any issues with them.
Are the contractors trained and competent for the tasks?	The initial stages of the Contractor Approval Procedure include checking the contractors working on site are trained and competent for the tasks they are undertaking. Training levels can be checked during the course of the work if new contractors are brought onto the job or if you have any concerns.
Is there adequate supervision on site?	Some larger scale jobs may require supervision or at least a visit from a more senior contractor to oversee the work. If there are concerns as to the level or supervision, this can be reported directly to the contractor and discussed.
Are toolbox talks being carried out?	For larger scale projects there is the expectation that toolbox talks will take place on subjects relevant to the work being carried out or as a direct response to an accident or near miss. This serves to ensure that risks are reduced by reminding their workers of the hazards and the correct safe way to work.
Are accidents and near misses being reported?	The reporting of accidents and near misses demonstrates a commitment to Health and Safety, especially if serious accidents and near misses are then followed up by an investigation. It would be good practice for the contractor to share any incidents with the client (LCC).
Is the contractor carrying out regular inspections?	Regular inspections e.g., daily, weekly and monthly enables the contractor to ensure work is being carried out safely and that the site is also in a safe condition. This has a positive effect on the risks to the contractor and LCC employees and service users.

After the Work

1. **REVIEW** the work to see if there are any lessons to learn.

Below are examples of areas to review:

Question	Guidance
Have you carried out a physical inspection of the area?	An inspection of the affected area would identify any hazards that remain after the work has been completed. It's important to keep a record of such an inspection to provide evidence of its completion.
Is the site clean and tidy?	Contractors should leave the area of work clean and tidy to ensure there are no hazards present that may cause

	slips, trips and falls. This could be tools, materials and waste mistakenly left behind. The area should also be clear of hazardous substances or residues of these that may cause harm to the unwary.
Does the finished work match plans/expectations?	Once work has been completed the area should be thoroughly checked to ensure it matches expectations and is safe.
Have safe access/egress routes been restored?	If applicable check that access/egress routes are safe to be restored to use and ensure that relevant people e.g., employees and visitors are made aware of this.
Have test and inspection records been completed?	If explicable (e.g., for equipment) ensure that test and inspection records have been completed showing that equipment is safe to use. It is also important to retain these records as evidence.
Were Risk Assessments and Method Statements followed?	A final review of whether the Risk Assessments and/or Method Statements were followed by the contractors helps to determine their overall Health and Safety performance and could be a factor in whether the contractor is used again for future jobs.
Have any defects been reported to the contractor?	It is essential for any defects to be reported to the contractor as soon as possible to enable them to be rectified quickly. By doing this it greatly reduces the chances of defects becoming a serious hazard to staff and service users.
Were there any accidents or near misses?	A final review of any accidents or near misses helps to determine their overall Health and Safety performance and could be a factor in whether the contractor is used again for future jobs. How any accidents and near misses were dealt with is also highly important, as it shows how seriously they take them.
Have you kept a record of the review process?	The review process should be recorded to provide evidence that Health and Safety has been considered throughout the whole contractor process. Such evidence would be useful when considering the contractor for future work or if they are being employed for regular maintenance/inspection work.