



## **APPRAISAL OF CONTRACTORS POLICY AND PROCEDURE**

Dated March 2013 by Rebecca Gritton – HR Manager  
Reviewed in line with Mental Capacity Act 2005  
Policy Amended February 2021 by Rebecca Gritton- HR Manager  
Policy Reviewed August 2022 by Rebecca Gritton – HR Manager

# APPRAISAL OF CONTRACTORS

## INTRODUCTION

The selection of appropriate contractors is critical to the successful management of health and safety and companies must have arrangements to ensure compliance with relevant statutory provisions such as the Health and Safety at Work Act (HSWA), Management of Health and Safety at Work Regulations, Construction (Design and Management) Regulations (CDM), Work at Height Regulations, etc.

The scope of work to be carried out by contractors warranting a formal selection process may include, but is not limited to, the following:

- civil, mechanical and electrical work, including the installation, maintenance and removal of services; and
- engineering and building work such as demolition, design, construction, alteration, renovation, repair, upkeep and redecoration.

It may be necessary to consider the competency not only of those undertaking work but also advisers such as designers and CDM coordinators.

Work covered by the Construction (Design and Management) Regulations calls for an effective appraisal of contractors to determine their suitability but not all work for which contractors are employed will require this formal procedure. However, the application of the principles outlined in this document will assist in the effective management of contractors.

## REQUIREMENTS

Contractors retain their own legal obligations and must, as a minimum, comply with the requirements of the HSWA and all other legal requirements relating to health and safety.

The client has obligations under the HSWA to ensure, so far as reasonably practicable, that the manner of conducting its activities, the condition of its premises, plant, etc., does not result in risks to its contractors or to any other persons.

The Management of Health and Safety at Work Regulations impose mutual obligations on client and contractor to provide each other with relevant information on risks and on the measures necessary to control those risks. Under the Construction (Design and Management) Regulations specific arrangements have to be put in place to ensure that, amongst other things, all contractors, self-employed and designers appointed by the principal contractor are competent and will make adequate provision for health and safety.

## ASSESSMENT OF COMPETENCE

A commonly used method of appraisal is the use of a health and safety questionnaire as part of the process of assessment. Contractors will be required, at or before the tender or quotation stage, to complete the questionnaire. A sample questionnaire is shown below.

The questionnaire will seek to obtain the health and safety information required and will include, but is not limited to, details of:

- health and safety management systems
- policies and procedures
- risk assessments and any resultant method statements
- any recent enforcement action

# ASSESSMENT OF COMPETENCE

## STAGE 1 ASSESSMENT

	<b>Criteria</b>	<b>Standard to be achieved</b>	<b>Suggested evidence</b>
1	Health and Safety Policy and organisation for health and safety	Appropriate policy, implemented and regularly reviewed, signed by the Managing Director or equivalent.	A signed, current copy of the company policy (indicating when it was last reviewed and by whose authority it is published)  <b>Documents enclosed Yes/No</b>
2	Arrangements	Arrangements for health and safety management within company and relevant to the project. How the company will discharge its duties under CDM if appropriate. Indicate how arrangements are communicated to the workforce.	Explain the arrangements the company has made for putting its policy into effect and for discharging its duties under CDM if necessary.  <b>Documents enclosed Yes/No</b>
3	Competent Advice – Corporate and Construction related	The organisation, and employees, must have ready access to competent health and safety advice. The advisor must be able to provide general health and safety advice, and advice relating to construction health and safety issues.	Name and competency of advice e.g. safety group, trade federation, consultant, etc. Provide examples from the last 12 months of advice given and action taken.  <b>Documents enclosed Yes/No</b>
4	Training and Information	Training arrangements to ensure employees have the skills and understanding necessary to discharge their health and safety duties, including CDM if appropriate.  Arrangements for refresher training.	Summarise approach to personal development. Provide evidence of training records, sample “tool box talks”, etc.  <b>Documents enclosed Yes/No</b>

	<b>Criteria</b>	<b>Standard to be achieved</b>	<b>Suggested evidence</b>
5	Individual qualifications and experience	Workers are expected to have the appropriate qualifications and experience for the assigned tasks, unless they are under controlled and competent supervision. Key roles should be named or identified and details of relevant qualifications and experience provided.	Details of qualifications and/or experience of specific corporate post holders and number/percentage of people expected to work on the project who have passed a construction health and safety assessment. Detail other relevant qualifications.  <b>Documents enclosed Yes/No</b>
6	Monitoring, audit and review	Evidence of systems for monitoring procedures, for auditing them at periodic intervals, and for reviewing them on an on-going basis.	Provide evidence of recent monitoring and management response, copies of site inspection reports, etc.  <b>Documents enclosed Yes/No</b>
7	Workforce involvement	Evidence of consultation with workforce on health and safety matters.	Names of appointed safety representatives. Explain arrangements for consultation and provide evidence showing how consultation is carried out.  <b>Documents enclosed Yes/No</b>
8	Accident reporting, enforcement action, follow up investigation	Keep copy records of all RIDDOR reportable events for at least the last three years. Demonstrate system for reviewing all incidents, and recording the action taken as a result.  If enforcement action has been taken within the last five years, detail the action taken to remedy matters.	Summarise the way in which accidents and incidents are investigated and recorded. Provide records of the last two accidents/incidents and action taken to prevent recurrence. Provide records of any enforcement action taken over the last five years, and action taken to put matters right.  <b>Documents enclosed Yes/No</b>

	<b>Criteria</b>	<b>Standard to be achieved</b>	<b>Suggested evidence</b>
9	Subcontracting/ consulting procedures (if applicable)	<p>Arrangements in place for appointing competent sub-contractors or consultants and ensuring sub-contractors also have arrangements for appointing competent sub-contractors or consultants.</p> <p>Arrangements for monitoring sub-contractor performance.</p>	<p>Summarise how it is ensured sub-contractors are competent and, where relevant, provide examples of completed sub-contractor assessments. Set out how sub-contractor performance is monitored.</p> <p><b>Documents enclosed Yes/No</b></p>
10	Hazard elimination and risk control <b>(Designers only)</b>	<p>Arrangements for meeting designer duties; include evidence of practical implementation of the arrangements.</p>	<p>Summarise arrangements for project management. Include a short summary of how changes to designs will be managed. Provide evidence showing how it is ensured there is co-operation and co-ordination of design work within the design team and with other designers/contractors, hazards are eliminated and any remaining risks controlled, any structure which will be used as a workplace will meet relevant requirements, and risk was reduced through design.</p> <p><b>Documents enclosed Yes/No</b></p>
11	Risk assessment leading to a safe method of work <b>(Contractors only)</b>	<p>Procedures for carrying out risk assessments and for developing and implementing safe systems of work or method statements. Demonstrate how health matters have been identified and considered in example assessments.</p>	<p>Summarise how the company identifies significant risks and how they are controlled. Provide sample risk assessments and safe systems of work or method statements. Outline specific measures that are relevant to the nature of the work and reflect the importance of this risk area.</p> <p><b>Documents enclosed Yes/No</b></p>
12	Cooperating with others and coordinating work with that of other contractors	<p>Illustrate how cooperation and coordination of work is achieved in practice. How workforce is involve in drawing up method statements or safe systems of work.</p>	<p>Summarise existing company arrangements. Evidence could include sample risk assessments, procedural arrangements, project team meeting notes, how the company co-ordinates its work with other trades.</p> <p><b>Documents enclosed Yes/No</b></p>

	<b>Criteria</b>	<b>Standard to be achieved</b>	<b>Suggested evidence</b>
1 3	Welfare Provision <b>(Contractors)</b>	Demonstrate how it is ensured that appropriate welfare facilities will be in place before people start work.	Summarise typical site mobilisation and facilities provided along with evidence (such as photographs, contracts with welfare facility providers, etc) of welfare facilities provided on previous similar projects.  <b>Documents enclosed Yes/No</b>
1 4	CDM Coordinator's Duties <b>(CDM Coordinators)</b>	Demonstrate how cooperation, coordination and communication between designers is encouraged	Summarise typical approach, referring to actual examples given as evidence  <b>Documents enclosed Yes/No</b>

Completed by (Capitals):	Signature:	Title:	Date:
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## **STAGE 2 ASSESSMENT**

### **Work experience**

Please provide details of relevant experience in the field of work for which you are applying. A simple record of recent projects/contracts should be provided, with the phone numbers and addresses of contacts who can verify that the work was carried out with due regard to health and safety. This should be sufficient to demonstrate your ability to deal with the key health and safety issues arising from the work you are applying for.

Where there are significant shortfalls in your previous experience, or there are risks associated with the project that you have not managed before, please provide an explanation of how these shortcomings will be overcome.

Completed by (Capitals):	Signature:
Title:	Date

Dated March 2013 by – Rebecca Gritton –HR Manager  
Reviewed in line with Mental Capacity Act 2005  
Reviewed August 2022 – Paul Graham – Director of Services