

Guidance Notes for Completing The Select List of Contractors Application

Prepared by: Health & Safety team

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Introduction

This document has been compiled to support and assist contractors in completing an application for inclusion on the Beyond Housing select list of contractors.

Beyond Housing utilises contractors to undertake a wide variety of different tasks. These tasks range from support services such as cleaning and catering, security, and waste disposal through to construction works such as building repairs, cyclical repairs and major construction works. The use of contractors brings many benefits to the organisation; however use of contractors also increases the risks to the company if they are not competent or managed correctly.

Both clients and contractors have general health and safety responsibilities which if not properly managed can lead to events which can prove costly to all parties not only in financial terms but also in legal terms.

There are a number of regulations relating to the management of contractors. Those regulations, which require specific arrangements for both clients and contractors, include but are not limited to the following:

- Health and Safety at Work etc. Act 1974 (the HSW Act)
- Management of Health and Safety at Work Regulations 1999
- Construction (Design and Management) Regulations 2015 (CDM).

Beyond Housing as the client are required to carry out Stage 1 Pre-Qualification Assessments¹ which demonstrates the organisational health and safety competence and capability of contractors held on the select list of contractors.

To be eligible for prequalification it is necessary that contractors demonstrate they possess or have access to governance, qualifications and references, expertise, competence, health and safety/environmental/financial and other essential capabilities necessary for them to undertake work and deliver services to Beyond Housing. These 'areas of capability' are represented in the core question Sections C1 - D15 of the Beyond Housing select list of contractors application form.

This guidance document supports the Beyond Housing select list of contractors application form and provides applicants with advice and guidance on completing the application form and the supporting evidence required.

For an informal discussion or further advice/clarification on the application process please do not hesitate to contact a member of the Health & Safety Team by phone or email prior to commencing the application process.

¹ Stage 1 Assessments are an assessment of the contractor's organisation and management arrangements for health and safety to determine whether these are sufficient to enable them to carry out the work safely and without risk to health.

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	Application core criteria	Beyond Housing assessment requirements	Legal or best practice
C1 C2	<p>State the name and position of the person with overall responsibility for health and safety in your organisation as required by Regulation 7 of the Management of Health & Safety Work Regulations 1999, together with details of experience and any relevant qualifications.</p>	<p>We expect your organisation and your employees to have access to general competent health and Safety advice. This advice can come from within the organisation or from an external source. Your advisor must be able to provide corporate or general health and safety advice and have suitable experience to match your work activities.</p> <p>Additionally The Construction (Design and Management) Regulations 2015 require any company or individual involved in construction work to have access to competent construction advice. In practise this could be you, one of your employees or a third-party (for example a consultant, building safety group or trade association), could provide the advice. The provider should have relevant and up to date construction experience, knowledge, training or qualification (such as the NEBOSH construction certificate or the CITB Site Management Safety Training Scheme – or equivalents). If you do not have this advice, the Client, Principal or Main Contractor, could agree to provide it for you before and during the work but the arrangements must be in place before the work begins.</p> <p>You will need to provide their name and details about their health and safety qualifications and/or their health and safety experience. It is possible that the person named will be contacted by Beyond Housing’s H&S team to verify this information/evidence.</p> <p>When considering your competent advice the Beyond Housing H&S team will review the training, qualifications and experience of the person or people providing that advice.</p> <p>If you use the services of an independent safety consultant to act as a source of competent advice you will need to provide their CV with details of experience and qualifications.</p>	<p>Regulation 7 of the Management of Health & Safety Work Regulations 1999 requires an employer to appoint one or more competent people to help in undertaking measures needed to comply with health and safety law.</p>

	Application core criteria	Beyond Housing assessment requirements	Legal or best practice
D1 D1.1 D2 D3	Does your organisation have a written Health and Safety Policy (covering General Policy, Organisation and Arrangements) as required by Section 2(3) of the Health and Safety at Work etc. Act 1974 and issue any codes of safe working practices to employees?	<p>We expect you to provide a copy of your Health and Safety Policy statement and your organisation details for health and safety. The policy should as a minimum consist of three parts:</p> <ol style="list-style-type: none"> 1) General Health and Safety Policy Statement signed and dated 2) Organisational Roles & Responsibilities 3) Management Arrangements. <p>The policy should be relevant, providing a clear indication of management responsibilities, health and safety duties and key appointments for health and safety. It should give an overview of how health and safety is organised, implemented and communicated within the organisation. The document should show evidence of regular review and indicate by whose authority it is published.</p> <p>The organisation chart should show the overall management structure, key health and safety duty holders and clear lines of responsibility. Specific appointees should include:</p> <ul style="list-style-type: none"> • Source of competent advice • Any director (or similar) with specific responsibility • Provision for first aid. <p>The document should demonstrate that the applicant is able to identify and understand the health and safety issues involved in his undertaking, relates them to his business and has systems in place to deal with the issues.</p> <p>If you employ less than 5 it is not a legal requirement to have a written Health and Safety Policy. However Beyond Housing would expect you to complete a simple policy in accordance with the HSE Guidance and Pro Forma Health and Safety Policy which can be found at http://www.hse.gov.uk/toolbox/managing/writing.htm</p>	<p>The HASAW Act places a duty on employers with five or more employees to prepare and revise a written Health and Safety Policy. This should have three parts. General statements of intent, an explanation of how the various organisational responsibilities are assigned and the management arrangements which detail how the policy is developed to comply with all relevant legislation.</p> <p>It is implicit within the HASAWA that H&S must have enough resources and finance. To be effective the Policy would normally be a responsibility of the MD, CEO or other senior management team member.</p> <p>The Management of Health and Safety at Work Regulations and Guidance calls for periodic review of the whole of the H&S management system to ensure that it remains effective.</p>

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D4.1 D4.2 D4.3	<p>1. The applicant has arrangements in place to successfully record, report where appropriate and investigate accidents and incidents.</p> <p>2. Evidence of Implementation is shown by accident records in the last two year.</p> <p>3. Evidence of Implementation is shown by records of all RIDDOR Reportable Accidents in the last 5 years.</p> <p>4. The applicant is required to provide details of any enforcement notices or prosecutions served on them in the last five years by the HSE, Local Authority or Fire Service.</p>	<p>We expect you to have robust arrangements for reporting and investigating accidents and incidents. Please submit your procedure for ensuring that any accidents or near misses are recorded, investigated and reported to the relevant enforcing authority.</p> <p>The Beyond Housing H&S team may be asked questions if there have been no reported accidents or incidents for two years. We will not dispute this but will consider the nature and size of your company but where there is a zero return, we will seek assurance you have investigated under-reporting as a possible reason.</p> <p>We expect you to investigate appropriately any accident to prevent a recurrence. Consequently in addition to completing your accident statistics on the application form please support this with detail about all accidents reported under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) in the last 5 years and evidence showing how these were investigated and the conclusions of that investigation including any action taken to prevent a recurrence.</p> <p>You must provide details of any enforcement notices (Prohibition, Improvement or Crown) or prosecutions served on your company in the last five years by the HSE, Local Authority or Fire Service. If applicable, you must supply details and corrective action taken.</p> <p>A prosecution or notice will not debar your business from registration but a failure to declare one will. Please note that Beyond Housing H&S team does check the HSE Public Register of Convictions.</p> <p>If you employ less than 5 we would expect as a minimum you to explain in the application form your arrangements for investigating accidents and incidents and reporting to the relevant enforcing authority.</p>	<p>The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations require employers to report and record events arising out of or in connection with work.</p> <p>The duty to report these events rests with the person responsible for health and safety within the organisation.</p> <p>The Management of Health & Safety Work Regulations 1999 requires employers to adequately investigate incidents and accidents to ensure that lessons are learned.</p>
D5 D6	<p>1. The applicant holds the following Accreditation:</p> <ul style="list-style-type: none"> • BS OHSAS 18001 • CHAS. 	<p>If the applicant has prior accreditation BS OHSAS 18001/CHAS valid certification should be submitted. If the applicant has provided valid certification the applicant will not be required to complete the remaining sections D7 - D15.7.</p>	<p>BS OHSAS 18001 and CHAS Accreditation demonstrates prior assessment to meet the SSIP Core Criteria and PAS 91.</p>

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D7	1. The Applicant is required to demonstrate how the Health & Safety Policy and Procedures are communicated to all employees and how they are administered within the organisation.	<p>We require the applicant to provide evidence demonstrating how the Health and Safety Policy is communicated to all employees.</p> <p>If you employ less than 5 we would expect as a minimum you to explain in the application form your arrangements for communicating the Policy to employees.</p>	The Health & Safety at Work Act requires an employer to bring the Health & Safety Policy to the attention of employees.
D8	1. The applicant is required to provide a Method Statement or Safe Working Procedure.	<p>The applicant is required to submit an example method statement or a Safe Working Procedure completed within the last 6 months and it must be specific to the organisation. Generic Method Statements/Safe Working Procedures will not be accepted. Additionally if you are carrying out construction works the CDM2015 Regulations require Contractors and Principal Contractors to produce a Construction Phase Plan. If you are a sole contractor we expect you to have systems in place which ensure that you plan, manage and co-ordinate work during the construction phase of a project. Please provide your procedures for ensuring your duties are being met and a copy of a recent construction phase plan which clearly sets out how health and safety is to be managed during the construction phase. The level of detail in this plan should be proportionate to the size of the project and the associated risks involved. If you employ less than 5 you may wish to use the CDM CPP App developed by CITB/HSE.</p>	<p>The Health & Safety at Work Act 1974 requires employers to provide Safe Systems of Work which include Safe Systems of Work/Method Statements</p> <p>The Construction (Design and Management) Regulations 2015 requires Principal Contractors and Contractors (where there is only one Contractor) to draw up a Construction Phase Plan.</p>

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D9 D9.1	<p>1. The applicant has a procedure/ process in place to successfully manage risk through risk assessment;</p> <p>2. Implementation of the procedure/process is evidenced by provision of risk assessments; including General, Manual Handling and COSHH Assessments.</p>	<p>Please submit your procedures for identifying the hazards associated with your work, how the risks arising from those hazards are controlled and how safe working practices are established and followed. You should support this with examples of risk assessments completed in the past 6 months for similar works.</p> <p>We expect you to have a formal system in place for completing risk assessments and that information about the assessment and the controls in place are communicated to relevant workers. The Beyond Housing Health & Safety team will form a judgement about the assessments you have submitted. They will check they are relevant to the work activities of the organisation, they “belong to you” and they are “suitable and sufficient”.</p> <p>If you use generic or model risk assessments we would need to see how these are adapted to your actual work situation i.e. made site specific.</p> <p>The applicant is also required to provide a Manual Handling Assessment to evidence the risk from manual handling operations and COSHH Assessments for substances that may be used during the course of the works being applied for.</p> <p>The identification of health issues is expected to feature prominently within the risk assessments.</p> <p>If you employ less than 5 you do not legally have to formally document your risk assessments but you must still assess risks. However the only way you can demonstrate you have completed your risk assessments is to provide them in writing to us. For small companies we do not want this to be a bureaucratic exercise, it must be practicable and protect people from risks that cause real harm and suffering. We recommend you read the HSE book “five steps to risk assessment” and use the tools provided in it to do your risk assessment. You can get a copy from the Internet at http://www.hse.gov.uk/pUbns/indg163.pdf and visit the HSE web site at http://www.hse.gov.uk/risk/ where there are some useful examples of completed risk assessments.</p>	<p>Regulation 3 of the Management of Health & Safety at Work Regulations 1999 requires employers to make a suitable and sufficient risk assessment.</p> <p>Other Regulations also contain requirements for risk assessment specific to the hazards and risks they cover including:</p> <ul style="list-style-type: none"> • Manual Handling Operations Regulations 199 • The Control of Substances Hazardous to Health regulations 2005.

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D10 D10.1	<p>1. Does the applicant supply Personal Protective Equipment to employees?</p> <p>2. The applicant is required to supply details of what Personal Protective Equipment is supplied and how the specification requirements are assessed.</p>	<p>The applicant will be required to confirm that Personal Protective Equipment (PPE) is provided to employees and to provide details of the equipment PPE provided and submit worked examples of PPE Issue Records. We expect PPE and specifications to be identified in your risk assessments/method statements/Safe Working Procedures.</p> <p>Additionally dependant on the size of the organisation we may expect you to have a specific PPE Policy/Procedure.</p>	<p>The Personal Protective Equipment Regulations 1992 require employers to provide personal protective equipment at work.</p> <p>Additionally Regulations relating to Lead, COSHH, Asbestos, and Noise require provision of PPE against these hazards.</p>
D11 D11.1 D11.2	<p>1. Will the applicant be providing and using other equipment</p> <p>2. Provide details of what equipment will be used and how the equipment is inspected and maintained, e.g. the procedure and frequency for inspecting ladders, harnesses, work platforms, delivery vehicles and lifting equipment etc. If equipment is to be hired, please advise how the equipment is inspected/checked before it is used</p> <p>3. Provide example copy of equipment maintenance record.</p>	<p>Please submit your procedure for successfully managing the risk from work equipment. Support this with examples of risk assessments, work equipment register and inspections and statutory testing if appropriate completed within the past 12 months.</p> <p>Submit your procedure for successfully managing the risk from portable electrical equipment. Support this with examples of instruction for workers and records of inspection and testing (including PAT testing records) completed within the past 12 months.</p>	<p>Regulations 5 and 6 of The Provision and Use of Work Equipment Regulations 1998 requires Employers to ensure work equipment is maintained, maintenance records kept and inspected.</p> <p>The Lifting Operations & Lifting Equipment Regulations 1998 (LOLER) places duties on people and companies who own, operate or have control over lifting equipment. This includes all businesses and organisations whose employees use lifting equipment, whether owned by them or not. LOLER also requires that all equipment used for lifting is fit for purpose, appropriate for the task, suitably marked and subject to statutory periodic 'thorough examination'.</p>

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D12 D12.1	<p>1. Does your organisation have a health and safety training programme for your employees to ensure that they are competent for their duties?</p> <p>2. Details of training courses undertaken by staff, copies of certification and the course objectives.</p>	<p>We expect you to provide all your workers with suitable training appropriate to their role and responsibilities. In addition to formal training we expect you to provide sufficient information, instruction and supervision where necessary to ensure that they can do their job safely.</p> <p>You should be able to demonstrate a positive and relevant health and safety training culture in your business. The inclusion of example training certificates, training records or programmes, training need assessments or CPD certificates of attendance will support this.</p> <p>Examples of training should be recent and relevant to your work activities and legislative requirements. An example being The Control of Asbestos Regulations 2012 – Asbestos Awareness Training.</p> <p>In addition to the general training provided we expect you to provide details of training delivered to individuals (for example board members, managers or supervisors) where a particular level of knowledge, awareness or skill is required to carry out their role.</p> <p>Examples might include membership of a professional body, recognised national qualifications or experience in a specialised area relevant to the work of the organisation.</p> <p>Your Risk Assessments/Method Statements/Safe Working Procedures should identify and help you determine the level of training and competence required within your organisation.</p> <p>Beyond Housing Health & Safety Team will review the type of work you are applying for detailed in Section B – Categories of Work of the Select List of Contractors Application Form and the training information provided. We expect your employees to have appropriate training, qualifications and experience relating the works being carried out.</p> <p>If you employ less than 5 you will still be expected demonstrate that relevant health and safety training has been provided and that you and your employees have received the appropriate training and have the required skills, knowledge and experience.</p>	<p>Regulation 13 of The Management of Health & Safety at Work Regulations 1999 requires employers to ensure that employers assess the individual capabilities of their employees and to provide adequate health and safety training.</p>

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D13 D13.1	<p>1. Does the organisation have safety committee meetings?</p> <p>2. Does the organisation involve safety representatives?</p>	<p>We expect you to consult and communicate with your workers about health and safety matters.</p> <p>Your organisation should have a means of involving your workforce on health, safety and welfare issues. Dependent on the size of your company you might have a full documented procedure with records of regular meetings or committees and examples of the work of that committee.</p> <p>Please submit your procedure for workforce involvement and support this with examples of this e.g. minutes of meetings, memos and safety bulletins, all being issued within the past 12 months.</p> <p>Where there is no formal consultation, the assessor will ask you to consider an action plan to review how you will consult, when it will be in place and who will do it.</p> <p>If you are a small company or employ less than 5 you may not have safety committees or representatives. If this is the case we you should state so in the application form. We would however expect you to still consult and communicate on an informal basis and you should detail how you do this within the application.</p>	<p>Safety Representatives and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996 requires Employers to consult their workforce on health and safety matters.</p> <p>When the employer recognises a trade union, that union has the right to appoint safety representatives who must be consulted on all matters affecting the health and safety of employees they represent and be permitted to carry out their functions.</p> <p>If requested to do so, the employer must establish a joint safety committee.</p>

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D14 D14.1	<p>1. Where appropriate does the D14.1 organisation undertake health surveillance of employees?</p> <p>2. If health surveillance is undertaken provide full details.</p>	<p>Beyond Housing’s Health & Safety team will assume that your employees are potentially exposed to health risks unless you justify otherwise. We will concentrate on noise, dermatitis, respiratory and vibration risks, although other occupational health risks (for example work-related stress and skin cancer) may be appropriate within the activities of your business.</p> <p>Beyond Housing’s Health & Safety team may use a Health Assessment Matrix (drawn up in conjunction with Constructing Better Health) to assist them in making a judgement as to whether health surveillance is required as a result of your risk assessment(s).</p> <p>Health Surveillance – Noise</p> <p>Submit your procedure for successfully managing the risk from noise in your workplaces. Support this with examples of noise risk assessments and what you have done to reduce risk.</p> <p>Health Surveillance – Dermatitis (inflammation of the skin caused by the skin coming into contact with certain materials)</p> <p>Submit your procedure for successfully managing the risk of dermatitis in your work activities. Support this with examples of what you have done to reduce risk or identify problems in the early stages.</p> <p>Health Surveillance – Respiratory</p> <p>Submit your procedure for successfully managing the risk of respiratory disease (occupational asthma) in your workplaces. Support this with examples of what you have done to reduce risk or identify problems in the early stages.</p> <p>Health Surveillance - Vibration</p> <p>Submit your procedure for successfully managing the risk from vibration in your work activities. Support this with examples of what you have done to reduce risk or identify problems in the early stages.</p>	<p>Regulation 6 of the Management of Health and Safety at Work 1999 requires employers to provide such health surveillance as is appropriate having regard for the health risks identified by Risk Assessment.</p>

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D15 D15.1	<p>1. If the organisation uses sub-contractors is there a system in place to for assessing their competence?</p> <p>2. If sub-contractors are used provide full details on how they are assessed.</p>	<p>We expect you to have a suitable system of health and safety checks you make before you appoint sub-contractors. Please submit your procedures for assessing the suitability of sub-contractors' health and safety arrangements before allowing them to carry out work on your behalf. Support this with examples of how this is achieved. If you use a questionnaire we expect to see suitable examples along with an indication of the assessment process completed within the past 12 months.</p> <p>If you employ less than 5 and you use subcontractors it is important you ensure they have the competence and skills to undertake the work you are employing them to do. If they are a new subcontractor you may take up references, check training and skills certification, look at examples of previous work. You will be required to explain in your application how you assess competence. Note: a sole trader must be considered a sub-contractor.</p>	

You can download various guidance documents free of charge, from www.books.hse.gov.uk/hse/public/home.jsf other useful web sites: www.hse.gov.uk where many other free leaflets are available.

The following list of information sources is an example (not an exhaustive list) of documents available at the time of publication of this document.

Further information sources for free HSE booklets

- IND (G) 275 Rev1 "Plan – Do – Check – Act - Managing Health and Safety" (free) www.hse.gov.uk/pUbns/indg275.pdf
- IND (G) 345 Rev1 "Health and Safety training" (free) www.hse.gov.uk/pUbns/indg345.pdf
- IND (G) 449 rev1 "Health & safety made simple: The basics for your business" (free) <http://www.hse.gov.uk/pUbns/indg449.pdf>
- IND (G) 163 Rev4 "Risk Assessment" (free) [/www.hse.gov.uk/pUbns/indg163.pdf](http://www.hse.gov.uk/pUbns/indg163.pdf)
- IND(G) 453 "Reporting accidents and incidents at work" (free) www.hse.gov.uk/pubns/indg453.htm
- IND (G) 136 Rev5 "Working with substances hazardous to health- COSHH" (free) www.hse.gov.uk/pUbns/indg136.pdf