

MANAGING CONTRACTORS POLICY



Alcester
Academy

TO BE THE BEST THAT WE CAN BE

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Financial Controls and Governance Policy
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REVIEW PROCEDURES

The Managing Contractors Policy for Alcester Academy is to be reviewed biennially by the Business Manager and the Site Supervisor with notification being given to the Headteacher and Governing Body on the results of the review.

The next review of the Policy Document will be: June 2027

DISTRIBUTION OF COPIES

Copy One	Business Manager
Copy Two	Site Supervisor/Site staff
Copy Three	Main Office for Visitors, Contractors & Parents Viewing

Available to staff at

https://drive.google.com/drive/u/0/folders/1kOj8KT_sZappOtP3yCww27vZp7rOcfxX

Available to the public at

https://www.alcesteracademy.org.uk/files/Managing_Contractors_Policy_7.23.pdf

STATEMENT OF INTENT

SCHOOL NAME	ALCESTER ACADEMY
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The Governing Body will ensure that all services and works provided by contractors is planned and managed so as to minimise risks to the health, safety and welfare of staff, pupils and visitors to the school.

The main purpose of this policy is to ensure that any contracted work is managed to a high standard by implementing the following processes:

- Effective planning of the contracted work or services.
- Selection of competent contractors.
- Ensuring safe working on site.
- Maintaining effective co-operation and communication.
- Monitoring and review.

The policy will apply primarily to high-risk contracts e.g. window cleaning, premises maintenance and construction work. However, the requirement to select competent contractors extends to all services.

The Governing Body is aware of the Construction, Design and Management Regulations 2015 (CDM) and the application of this legislation to construction and building maintenance work.

The Governing Body is also aware of its duties as 'The Client' as defined by the CDM regulations.

Name _____

Signature _____ (Chair of Risk & Audit Committee)

Date: _____

ORGANISATION

1.0 INTRODUCTION

- 1.1 In order to achieve compliance with the Governing Body's Statement of Intent the school's management team will have additional responsibilities assigned to them as detailed in this part of the Policy.

2.0 THE GOVERNING BODY

- 2.1 The Governing Body has the responsibility to ensure that:
- a) Any contracted work and services are carefully planned and robust specifications prepared.
 - b) Sufficient funding is available to complete the specified work without compromising health and safety or the standard required of the service/project.
 - c) Responsibilities for the selection and management of contractors are allocated to specific people and that these persons are competent to undertake these responsibilities.
 - d) Contractors are informed of any risks that may be present in their area of work.
 - e) Contractor health and safety performance is measured both actively and reactively.

3.0 THE HEADTEACHER

- 3.1 The Headteacher supports the Governing Body by ensuring that:
- a) This Policy is communicated adequately to all relevant persons.
 - b) Appropriate information on significant risks is provided to contractors.
 - c) Systems are put in place to ensure effective communication and co-operation with the contractor/s.
 - d) Method statements and safe systems of work are in place for high-risk activities.
 - e) Contractors are made aware of the school emergency procedures.
 - f) The activities of contractors are adequately monitored and controlled.
 - g) All accidents and incidents arising from the contractor's activities are investigated appropriately.
 - h) Contractors are required to stop work immediately if health and safety is compromised.

4.0 BUSINESS MANAGER

- 4.1 The Business Manager or site staff will, where appropriate, deputise for the Headteacher and undertake the day-to-day responsibility for the management of the contractor.

5.0 OBLIGATIONS OF ALL EMPLOYEES

- 5.1 No member of staff should give instruction to contractors unless they have been authorised to do so by the Headteacher/Business Manager.
- 5.2 No member of staff should agree to direct requests from the contractor for access to classrooms, offices or equipment. All such requests must be referred to the Business Manager or site staff.
- 5.3 No member of staff should enter the contractor's work area or facilities unless by prior arrangement with the Business Manager or site staff.
- 5.4 All staff must report any observed unsafe work practices to the Business Manager or site staff without delay.

6.0 OBLIGATIONS OF CONTRACTORS

- 6.1 All contractors who work on the school premises are required to identify and control any risk arising from their activities and inform the headteacher of any risks that may affect the school staff, pupils and visitors.
- 6.2 All contractors must be aware of the school health and safety policy and emergency procedures and always comply with these.
- 6.3 All contractors must ensure that the senior person on site e.g., foreman/supervisor maintains daily communication with the Business Manager or site staff and co-operates with them in all matters of health and safety.
- 6.4 Main contractors must ensure that all sub-contractors are competent and monitor their activities on site.

1.0 PLANNING AND SPECIFICATION

1.1 The following Health & Safety provisions will be considered for inclusion in the tender documents and final contract:

- A clear definition of the work to be carried out including the preparation and completion stages.
- The respective obligations of the academy and the contractor for health & safety matters.
- Particular health and safety requirements of the school which may impact on costs, e.g. Additional HERAS fencing, enhanced scaffold protection, lockable skips.
- Requirement for particularly hazardous or disruptive activities to be undertaken out of school hours or at weekends.
- Procedures to be followed in the event of an accident, dangerous occurrence or environmental incident.
- Arrangements for site supervision e.g. Foreman on site at all times.
- Arrangements for communication and co-operation e.g. pre-site and weekly progress meetings.
- Provision for the Governing Body to terminate the contract in the event of a gross breach of health & safety responsibilities by the contractor.

2.0 SELECTION OF COMPETENT CONTRACTORS

2.1 Contractors with a proven track record of working with schools will be preferred.

2.2 Where applicable other schools will be contacted regarding the contractor's previous performance.

2.3 All prospective contractors will be interviewed and asked to explain how they work, what they know about health and safety and how they implement their own health and safety policy. **The checklist in Appendix 1 will be used to record the selection process.**

2.4 Where sub-contractors are to be used the principal contractor will be asked to provide evidence of his company procedures for the selection, training and management of sub-contractors.

3.0 PRE-SITE MEETINGS

- 3.1 Before any work begins a pre-site meeting will be held to agree safety standards and arrangements.
- 3.2 The meeting will be attended by the Headteacher, Business Manager and site staff, the contractor(s) and, where appropriate a representative of the Governing body.
- 3.3 The meeting will be minuted and copies of the minutes provided to all parties. **The checklist in Appendix 2 will be used to record the key issues discussed and agreed.**

4.0 MANAGING THE CONTRACT

- 4.1 The Business Manager will meet with the site supervisor weekly to discuss the work planned regularly.
- 4.2 The purpose of the meeting will be to identify any potential impact on the school activities or health and safety and agree control measures.
- 4.3 Any incidents or concerns will also be discussed and resolved at this meeting.
- 4.4 The Business Manager or other nominated person with sufficient competency will undertake weekly checks of the work area(s) and report any concerns to the headteacher and site supervisor immediately.
- 4.5 If necessary the Headteacher will stop the work until the faults have been remedied.

The monitoring form in appendix 3 will be used to record these checks

5.0 REVIEW

- 5.1 The Academy will maintain a Contractor file for each project.
- 5.2 This will allow a record to be kept of the contractor's performance overall and of any particular successes or problems.
- 5.3 This record will allow the Academy to maintain a list of competent contractors and provide useful information for future projects.

Signed

.....
Chair of Governors

.....
Headteacher

Date

(ratified by Chair of Risk & Audit Committee 24th June 2025))

Financial Controls and Governance Policy
Author: Cari Haynes Business Manager
Approved by Risk & Audit Committee 24 June 2025

APPENDIX 1 – SELECTING A CONTRACTOR

ITEMS TO CHECK	NOTES
Does the contractor have an up-to-date Health and Safety Policy?	
Are the main health and safety responsibilities defined within the contractor's organisation?	
Does the contractor have adequate Employer Liability Insurance and Third party and Public Liability Insurance?	
Does the contractor have access to professional advice on health and safety?	
Has the contractor any written safety procedures or reference manuals.	
What health and safety training has been provided by the contractor for his Premises Manager, supervisors and operatives.	
Has the contractor previously worked in schools and does he understand the particular risks.	
Does the contractor have membership of or accreditation by a Trade Body?	
What is the contractor's system for the maintenance of plant and equipment?	
Does the contractor have a system for the reporting and investigation of accidents, diseases and dangerous occurrences?	
What is the contractor's system for assessing the competence and resources of his subcontractors? (if applicable)	
Are the contractor's risk assessments and method statements applicable to the work he is going to carry out in your school? Has he taken into account the presence of children in an occupied building?	
Ensure the academy is involved with the planning, management and H&S coordination of the contracts including liaising with the client and designer, preparation of the construction phase plan and cooperation with all stakeholder involved in the project	

Ask for documentary proof of the above items as applicable. The questions Below may be helpful

Checklist completed by:.....

Date.....

APPENDIX 2 - CONTRACTOR QUESTIONNAIRE

For your company to be included on our register of approved contractors and to determine your competence to successfully undertake work on our behalf in a legally compliant manner, please provide the following information relating to your arrangements for health & safety and environmental management. The fully completed document should be returned to the school office.

Name of Company:

Address:

_____ Post Code _____

Telephone:

E-mail:

Contact Details:

1. Health and Safety Policy

Does your company have a written Health and Safety policy?

YES/NO

If yes, please enclose a copy of your current company Health and Safety Policy when returning this document.

If no, state how you manage and communicate health and safety issues to your workforce.

2. Environmental Policy

Does your company have an environmental policy?

YES/NO

If yes, please enclose a copy when returning this document.

3. Safety Competence

a) Provide the name of the competent person(s) in safety and environmental matters for your company (safety officer, advisor or consultant who assists you in these matters).

b) Please provide the name and any job title for the responsible/competent person on site for projects.

4. Professional Membership

Is your company registered with a relevant professional body or accreditation scheme relating to contractor competence, e.g. Construction Industry Council; National Inspection Council for Electrical Installation Contracting (NICEIC); Specialist Engineering Contractors Group; Professional Contractors Group, Confederation of Roofing Contractors? **YES/NO**

If yes, please provide details:

5. Prosecutions, Prohibition or Improvement Notices

a) Has your company been prosecuted for breaches of Health and Safety or environmental legislation? **YES/NO**

If yes, provide full details:

b) Has your company ever been subject to a prohibition or improvement notice? **YES/NO**

If yes, please provide full details:

6. Disclosure and Barring Service Checks

Does each employee within your team hold a DBS certificate? **YES/NO**

Please list names and DBS numbers for each employee who could work at the school:

7. Reportable Accidents or Diseases

a) Has your company had any accidents or incidents in the last three years that are/were reportable to the Health & Safety Executive under RIDDOR requirements (7 days and over lost time accidents (3 days before October 2012), or major accidents or dangerous occurrences)?

YES/NO

If yes, how many (by type)?

b) Have you had to report any cases of industrial disease in the last three years under RIDDOR requirements?

YES/NO

If yes, please provide details:

8. Training

a) What Health and Safety and/or Environmental training has your management team received in the last 2 years?

b) What health and safety and/or environmental training have your employees received in the last 2 years?

9. Communication and Consultation

What arrangements does your company have in place for communication and consultation with employees with regards to safety, welfare and environmental matters?

10. Sub-contractors

Do you employ sub-contract labour? **YES/NO**

If yes, how do you assess their competence?

How do you communicate the safety, welfare and environmental information relating to projects/contracts to them?

11. Plant/Equipment Certification

Please confirm that where applicable your plant/work equipment is tested inspected/examined by a competent person in line with current regulatory requirements, e.g. PUWER, LOLER and Maintenance of Portable Electrical Equipment. **YES/NO**

If **no**, please explain why:

Note: A copy of certificates for plant/equipment used will be required before the start of any contract. If hired, copies of the hirer documentation will be required.

12. Job Specific Training/Competence

Do your employees hold current certification or licenses, where applicable, for duties that they would be expected to carry out on contracts – Examples being:

Gas Safe registration; Electrician Apprenticeship & NVQ, City and Guilds 2394/2395, (electrical skills); Engineering Technician (Engineering Council); Relevant Construction Skills Certification Scheme (CSCS) card, with matching NVQ Level; Appropriate mobile plant licence; PASMA' Towers for users' training certifications, Powered Access Equipment certification (IPAF); Other specific Work at Height training (e.g. rooftop working?)

YES/NO

If yes, please state what is in place:

Note: Evidence of appropriate training will be required prior to the start of any contract. You may be requested to provide evidence of appropriate training for any sub-contractors under your control who may join a project ongoing.

13. Personal Protective Equipment

Does your company supply and ensure the wearing of appropriate Personal Protective Equipment, based on the findings of pre-work assessments?

YES/NO

If yes, please provide details of what is provided:

14. Previous Work

Please provide details of the three most recent significant projects that your company has been engaged on in the capacity of a contractor, with ideally at least one project being in a school environment. Denote whether your company was the principal or main Contractor, or working under the control of others.

When returning this questionnaire, please ensure that the following documents are enclosed. Please note that while copies are acceptable, we may request that original documents be made available for authentication purposes on occasions.

- ✓ Current company's health and safety policy
- ✓ Company's Employer's Liability Insurance
- ✓ Company's Public Liability Insurance
- ✓ Proof of employees' competence (certificates of training etc.)
- ✓ Current certificates relating to testing, inspection and calibration of plant and equipment
- ✓ Copies of any reportable accidents (F2508 forms) reported during the last three years
- ✓ A specimen copy of a method statement – representative of work to be undertaken
- ✓ A specimen copy of a risk assessment – representative of work to be undertaken
- ✓ A specimen copy of a COSHH assessment – representative of work to be undertaken

Signed on behalf of the company by:

Print Name: _____

Position in company: _____

Date: _____

APPENDIX 3 - PLANNING AND ORGANISING WORK (Pre-Site meeting)

ITEMS TO DISCUSS & AGREE	NOTES
Hazardous Work	
Site Security	
School emergency procedure	
Erecting fencing	
Erecting scaffolding	
Vehicle movements and deliveries	
Storage of materials and location of skips.	
Provision of services	
Contractor's facilities	

Visitors on site	
ITEMS TO DISCUSS & AGREE	NOTES
Key contacts and emergency numbers	
Staff and Pupil access and egress	
Use of playground	
Time-tabling of Work	
On Site liaison	
Weekend and evening working	
Progress meetings	
Communication between headteacher and site foreman/supervisor	

Ensure that all site meetings are minuted.

Checklist completed by:

Name _____

Signature _____

Date _____

APPENDIX 4 – MONITORING OF WORKS

ITEMS TO CHECK	NOTES
Site fencing secure and effective	
Access and egress kept clear	
Walkways under scaffolds protected and debris netting in place	
Skips and material stores secure	
No unsafe vehicle movement	
Work areas kept clean and tidy	
All hazardous materials and equipment removed at night	
Ladders removed/rungs boarded at night	
Warning notices displayed	
Trailing cables etc avoided	
Needs of school respected at all times	

Checklist completed by:

Name _____

Signature _____

Date _____

APPENDIX 5 - CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 2007

1.0 CLIENT DUTIES: (the budget holder who controls and commissions the work is deemed to be the Client).

1.1 The CDM Regulations establish the need for all construction work including maintenance, building works and demolition to have a structured approach to ensure that only the safest practices are employed throughout construction and future use of buildings.

1.2 As a Client with control of budgets you take on legal duties that cannot be transferred to a client's agent or third party. These duties apply to ALL projects and are:

- Check competence and resources of all consultants, architects and contractors.
- Ensure there are suitable management arrangements for the project
- Allow sufficient time and resources for all stages of the project.
- Provide pre-construction information to designers and contractors.

2.0 NOTIFIABLE PROJECTS:

2.1. Projects are **Notifiable** if construction work is expected to:
last more than 30 working days OR involves more than 500 person days e.g.
50 people working for more than 10 days.

2.2 For Notifiable projects the client must, in addition to the above duties:

- Appoint a CDM Co-ordinator before significant detailed design work begins, so that the CDM Co-ordinator can advise on client's duties and responsibilities. (Detailed design includes preparation of initial concept design and implementation of any strategic brief).
- Appoint a Principal Contractor to properly plan, manage and co-ordinate the work during the construction phase
- Make sure that the construction phase does not start unless there are suitable:
 - a) Welfare facilities; and
 - b) A construction phase plan in place
- Retain and provide access to the Health and Safety file upon handover by the CDM-C on completion of works.