# CONTROL OF CONTRACTORS POLICY

Resilience Multi Academy Trust

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| **Summary** | Control of Contractors |
| **Responsible Person/Author:** | COO/ Estates Director |
| **Applies to:**<br>(please check as appropriate) | **Colleagues** ☒ **Student**☒ **Community** ☒ |
| **Ratifying Committee(s)** | Finance & Resources Committee |
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## Document Control

| Date | Version | Action | Amendments |
|---|---|---|---|
| 12.05.21 | 1 | Reformatted | Policy updated to new format. |
| Sept 2024 | 2 | Amended | Nomenclature changes |
| May 2025 | 3 | Amended | Rebranding |
| Sept 2026 | 4 | Amended | 1- Purpose added. 3 – Scope added. 4 – Legislative framework added. 5- Roles and responsibilities added. 11 – Contractor selection and competence added. 18 – CDM Regs added. 19 – Asbestos Management added. 41 – Emergency arrangements added. 43 – Environmental management added. 44 – Monitoring and assurance section amended. 47 – Policy review section added. |

# Contents

## Purpose

1. Resilience Multi Academy Trust ("RMAT") is committed to ensuring that all contractors, subcontractors, consultants and other external providers undertaking work on Trust premises do so in a manner which protects the health, safety and welfare of colleagues, students, visitors and others who may be affected by their activities.

2. This policy establishes the arrangements for selecting, appointing, managing and monitoring contractors and for ensuring compliance with health and safety, safeguarding and statutory requirements.

## Scope

3. This policy applies to:

   - All academies within RMAT.
   - All contractors and subcontractors undertaking work on behalf of RMAT
   - Consultants, engineers, surveyors and professional advisers undertaking site-based work.
   - Facilities, estates and premises teams.
   - Principals and academy leaders responsible for contractor management.
   - Any person overseeing construction, maintenance, servicing, repair or improvement work.

## Legislative framework

4. This policy supports compliance with:

   - Health and Safety at Work etc. Act 1974
   - Management of Health and Safety at Work Regulations 1999
   - Construction (Design and Management) Regulations 2015 (“CDM 2015”)
   - Control of Asbestos Regulations 2012
   - Electricity at Work Regulations 1989
   - Work at Height Regulations 2005
   - Regulatory Reform (Fire Safety) Order 2005
   - Safeguarding vulnerable groups act 2006
   - Keeping Children Safe in Education (KCSIE) (current edition)
   - Equality Act 2010

## Roles and Responsibilities

5. The Trust Board has overall responsibility for ensuring suitable arrangements are in place for managing contractor activities across RMAT.

6. The Estates Director shall:

   - Ensure appropriate contractor management arrangements are established across RMAT.
   - Monitor compliance with this policy.
   - Escalate significant health and safety concerns.
   - Receive reports relating to serious incidents involving contractors.

7. The Estates Manger shall:

- Maintain contractor arrangements.
- Monitor contract performance.
- Undertake compliance inspections.
- Ensure permits to work are appropriately implemented.
- Support academies with contractor management arrangements.

8. Principals shall:

- Ensure contractors are appropriately managed on site.
- Ensure safeguarding arrangements are implemented.
- Ensure local premises teams understand their responsibilities.

9. Premises Managers shall:

- Verify contractor identity upon arrival.
- Brief contractors on local arrangements.
- Monitor works whilst being undertaken.
- Report concerns immediately.

10. Contractors shall:

- Comply with all health and safety legislation.
- Follow academy safeguarding requirements.
- Provide all required documentation prior to commencing work.
- Co-operate with RMAT colleagues and other contractors working on site.

### Contractor selection and competence

11. Before appointment, RMAT shall satisfy itself that contractors are competent to undertake the proposed work. The following information may be requested and reviewed:

- Public liability insurance.
- Employers' liability insurance.
- Health and safety policy.
- Risk assessments and method statements (RAMS).
- Relevant qualifications and certifications.
- Training records.
- Professional accreditations.
- References where appropriate.
- Evidence of safeguarding arrangements.

12. RMAT shall maintain an approved contractor list where appropriate. Contractors may be removed from the approved list where performance, safety or safeguarding concerns arise.

## Co-ordination of Health & Safety with Contractors

13. It is recognised by RMAT that it is important for an appropriate exchange of health and safety information to be carried out between us, contractors and sub-contractors.

14. Discussions will take place prior to or on acceptance of a contract to ensure that all health and safety implications are considered.

## Planning

15. All aspects of Health and safety should be considered at the planning stage of all projects in order to avoid work being stopped because some health and safety feature has been overlooked.

16. The following matters will be considered:

- Our own operations which may affect the contractor's work.
- The need for any statutory assessments, for example under Control of substances hazardous to health ("COSHH"), Noise or Vibration.
- Who has overall responsibility for management of work on site?
- Whether health and safety responsibility is clearly defined, even if work areas are not - e.g. during commissioning of newly installed systems or plant, carrying out trials or when several contractors are working concurrently.
- Timing and segregating the work to ensure that activities do not create risks for others.
- The health and safety issues when setting down working methods - using drawings or sketches as necessary. Detailed written procedures will be necessary for complicated or hazardous operations

17. It is imperative that there is adequate communication between RMAT and contractors both before and during any project. Ensure that all colleagues are clear as to which is their area of work and any restricted areas.

## Construction (Design and Management) Regulations 2015

18. Where construction work falls withing the scope of CDM 2015, RMAT shall discharge its duties as Client. This includes:

  - Making suitable arrangements for project management.
  - Ensuring sufficient time and resources are allocated.
  - Providing pre-construction information.
  - Ensuring duty holders are appointed where required.
  - Ensuring a Construction Phase Plan is prepared before work commences.
  - Ensuring a Health and Safety File is provided where required.
  - Monitoring arrangements throughout the project lifecycle.

## Asbestos Management

19. Before commencing intrusive works, contractors shall be provided with relevant asbestos information. Contractors must:

  - Review asbestos survey information before commencing work.

- Stop work immediately if suspected asbestos-containing materials are identified.
- Report concerns to the academy representative without delay.
- Follow RMAT asbestos emergency procedures.

20. No intrusive works shall commence until asbestos risks have been assessed and appropriate controls implemented.

### Permit to work

21. RMAT may occasionally carry out Hazardous work for which a permit-to-work is required.

22. All Premises colleagues must understand the permit-to-work system, its limitations and the importance of adhering to the procedures.

23. Where systems are already in place on site all colleagues and sub-contractors must abide by any such systems. A general permit to work system and a hot permit will be provided and operated by the Trust where required.

24. A permit-to-work is an essential link in the protection of personnel working in situations or on plant where the co-ordination of activities is an essential pre-requisite of safe working.

25. A permit-to-work is a formal written means of making sure that potentially dangerous jobs are approached and carried out using appropriate safety procedures. All persons involved in the use of the permit-to-work system are instructed in its purpose and application.

26. A permit-to-work system may be required to be operated by our colleagues (for example during roof inspections / maintenance) and it is essential that all contractors also conform to any permit-to-work system.

### Permit to Work Requirements

27. Permits will be required in respect of the following:
    - Hot work. (e.g. welding, flame cutting, grinding)
    - Electrical work.
    - Work which may generate sparks or other source of ignition.
    - High risk work at height.

28. A permit-to-work certificate must:
    - Be based on comprehensive, up to date information in order that the operation may be carried out safely.
    - State exactly what work is to be carried out.
    - State the safety measures to be taken (e.g. isolation, cleaning, purging, testing, etc.) the precautions which are mandatory, the method of work and the time of expiry of the permit.
    - State the limitations of the permit regarding the space or plant, etc., to which it refers.
    - State the type of operation to be carried out.
    - Be clearly explained to those who are affected by it.

### Permit to Work Expiry and Amendments

29. While current, the Permit must be considered as the Principal instruction (emergencies excepted) until it expires or is cancelled. It overrides other instructions issued in connection with specific operations to the extent specified in the Permit.

30. Only the "Responsible Person" who issues the permit-to-work certificate may amend or cancel it, with the exception of a "Responsible Person" who assumes responsibility at the beginning of a new shift and who has made himself familiar with the situation. Any "Responsible Person" who does take over, either for routine or an emergency, shall assume complete responsibility.

31. All persons carrying out a job subject to a permit-to-work should have an opportunity of seeing the permit so that they can be sure themselves that the procedures have been properly prepared.

32. If work has not been completed before the expiry of the permit, and re-issue is therefore required, a competent person should visit the place of work and satisfy himself (by all necessary means) that conditions have not materially altered since the first certificate was issued. If conditions have changed the competent person should re-assess the situation and specify what further precautions are needed to ensure safety.

33. Duplicate records of all permit-to-work certificates should be maintained.

34. Hazardous work may require the issue of a permit-to-work. All colleagues must understand the permit-to-work system, its limitations and the importance of adhering to the procedures.

### Disclosure and Barring Service (“DBS”) Checks

35. Academies should ensure that any contractor, or any employee of the contractor, who is to work at the premises, has been subject to the appropriate level of DBS check. Contractors engaging in regulated activity will require an **enhanced DBS certificate** (including barred list information). For all other contractors who are not engaging in regulated activity, but whose work provides them with an opportunity for regular contact with children, an enhanced DBS check (not including barred list information) will be required. In considering whether the contact is regular, it is irrelevant whether the contractor works on a single site or across a number of sites. HR will support with this where applicable.

36. Under no circumstances should a contractor in respect of whom no checks have been obtained be allowed to work unsupervised or engage in regulated activity. Academies are responsible for determining the appropriate level of supervision depending on the circumstances.

37. Academies should always check the identity of contractors and their colleagues on arrival at the site.

### Regulated Activity in Relation to Children (Department for Education Factual Note 2012)

38. The definition of regulated activity (i.e. work that a barred person must not do) in relation to children comprises, in summary:
    - unsupervised activities: teach, train, instruct, care for or supervise children, or provide advice/ guidance on well-being, or drive a vehicle only for children.

- work for a limited range of establishments ('specified places'), with opportunity for contact: e.g. schools, children's homes, childcare premises. Not work by supervised volunteers.

39. Work under the above is regulated activity only if done regularly: "regularly"

40. An activity is 'regulated activity' in relation to children if carried out (subject to exceptions below) in schools (as a listed establishment):

- frequently (once a week or more often), or on 3 or more days in a 30-day period.
- by the same person, engaged in work for or in connection with the purposes of the establishment; and
- it gives the person the opportunity, in their work, to have contact with children.

### Emergency Arrangements

41. Contractors shall be informed of:

- Fire evacuation procedures.
- Assembly points.
- First aid arrangements.
- Accident and near miss reporting procedures.
- Emergency contact details.
- Site-specific emergency arrangements.

42. All accidents, dangerous occurrences and near misses involving contractors shall be reported immediately.

### Environmental Management

43. Contractors shall:

- Manage waste responsibly.
- Minimise noise, dust and disruption.
- Prevent pollution.
- Comply with relevant environmental legislation.
- Support RMAT sustainability objectives where reasonably practicable.

### Monitoring and Assurance

44. The Estates Manager together with the Estates Director will monitor the implementation and effectiveness of the policy through:

- Site inspections.
- Contractor audits.
- Review of permit to work records.
- Incident investigations.
- Near-miss reporting.
- Annual review of contractor performance.
- Review of approved contractor arrangements.

45. Significant concerns shall be escalated through Trust governance arrangements.

### Diversity

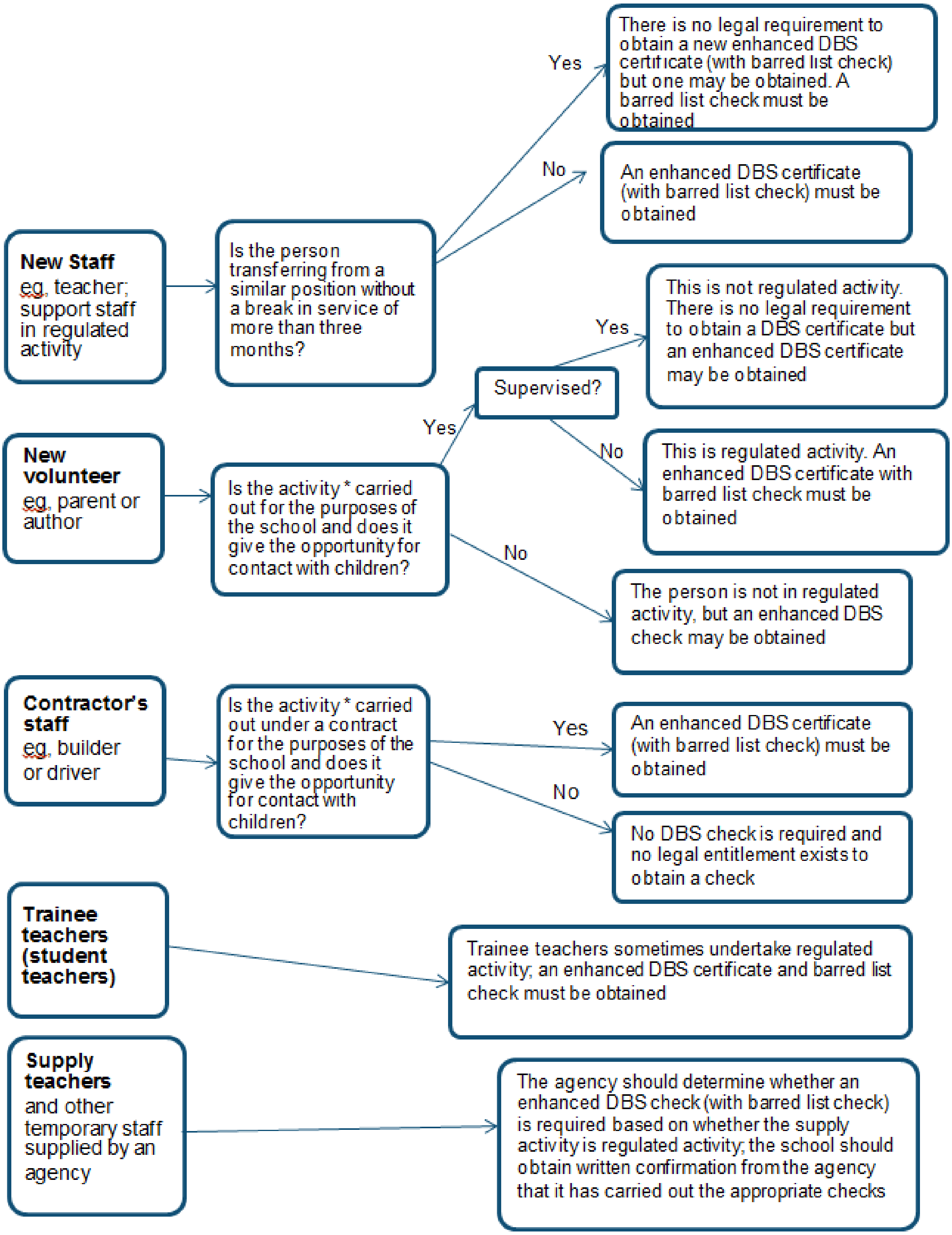
46. RMAT is committed to a policy of celebrating diversity, promoting equality of opportunity, providing an inclusive workplace, and eliminating any unfair treatment or unlawful discrimination. This overriding objective applies to all policies and procedures relating to colleagues and students. RMAT will always comply with the requirements of the **Equality Act 2010** and associated guidance produced by the Department for Education.

### Policy Review

47. This policy shall be reviewed annually or earlier where:

- Legislation changes.
- Significant t incidents occur
- Operational requirements change.
- New statutory guidance is issued.

## DBS Guidance diagram




* Activities listed under the guidance's definition of regulated activity and which are carried out 'frequently'