Contractor compliance record

One record per contractor company, kept from before work starts until the end-of-job review. It shows what you asked for and when, what you received and when it expires, who was inducted, which permits were issued, what you checked on site and what happened. Which documents you ask for is for you, your contract and the rules that apply to your work to decide; this form does not say that any document is a legal requirement. A document that arrives shows that evidence arrived. It does not show that the contractor is competent for this job, and it does not move the contractor's own duties to you. The document names, the status choices and the induction topics below are examples: change them, and keep personal data to what you need.

1 Contractor company

Company name	Registration or tax number (if you hold one)	Main trade or service
Address	Contact person and role	Phone and email

Subcontractors this company uses on your site	Number of workers expected on site
☐ None ☐ Yes, listed in section 4 or attached	

Approval status	Sites or work types it is approved for
☐ Not yet assessed ☐ Approved ☐ Approved with conditions ☐ On hold ☐ Not approved ☐ Removed	

2 The work and who engaged the contractor

Scope of work (what, where, and what is excluded)

Engaged by (name, department)	Site contact for the contractor (name, phone)	Contract, order or job number	Start	End

Main hazards of the work and your own hazards the contractor must know about

High-risk work involved (tick any)

☐ Hot work ☐ Confined space ☐ Work at height ☐ Electrical ☐ Lifting ☐ Excavation ☐ Hazardous substances ☐ Other

3 Documents requested and received

Document (examples; change the list)	Asked for	Date asked	Received	Issue date	Expiry	Outcome (A, Q, R)	Next check	Reviewed by, notes
Safety policy or equivalent (if you ask for one)								
Risk assessment for this job								
Method statement or safe system of work								
Licences, certificates or competence evidence the work needs								
Training records for the workers sent								
Insurance certificate (only if your contract or host asks for it)								
Safety performance information (for example incident history)								
Inspection or test records for equipment brought on site								

Outcome: **A** accepted, **Q** queried (write the question), **R** rejected (write the reason). Write dates in full. Check the expiry date against the end date of the work in section 2, and set the next check before an expiry that falls during the job.

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4 Workers and subcontractors sent to site

Name (and company, if a subcontractor)	Role on this job	Qualification or competence relied on	Expires	Site induction date	Inducted by	On site (from, to)

A new person who arrives after the work has started needs the same checks and induction before starting; add a line.

5 Site induction

Topics covered (tick)

☐ Site rules ☐ Emergency arrangements and assembly point ☐ Site hazards ☐ How to report an incident or hazard
☐ Permits and how to get one ☐ Welfare facilities ☐ Site contact ☐ Other

How you checked that it was understood (for example, questions, a short quiz, a walk round)	Induction given by (name)	Date

6 Permits issued to this contractor

Permit no.	Type of permit	Work and location	Issued by	Date issued	Closed date	Closed by

7 Monitoring visits and checks on site

Date	Checked by	What was checked (work done as agreed, PPE, permit conditions, scope, new workers)	Findings	Action no.

Plan the amount of checking by the hazards of the job and your history with the contractor, and agree it before the work starts.

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8 Incidents, near misses and changes

Date	Incident, near miss or hazard (what happened)	Report reference	Injury or damage?	Action taken and by whom

Date	Change of scope, personnel, method or timing	Recheck needed? (assessment, permit, induction)	Agreed by

9 End-of-job review

How well was the job planned, how did the contractor perform, how did the job go, and how well did we keep a check?

Lessons to record (for this contractor and for our own process)

Open items at the end of the job

10 Decision and sign-off

Decision for future work

☐ Approve again ☐ Approve with conditions ☐ Restrict
☐ Remove ☐ Needs review

Conditions or restrictions (write them out)

Role	Name	Signature	Date
Site contact (engaging manager)			
Safety or compliance reviewer			
Contractor representative			

Date of next review of this contractor	Where this record is kept, and for how long

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