

|  |  |
|--|--|
| <b>Reference Number:</b> UHB 163<br><br><b>Version Number:</b> 3   | <b>Date of Next Review:</b> 19/07/2022<br><b>Previous Trust/LHB Reference Number:</b>        |
| <b>Control of Contractors Policy</b>   |  |
| <b>Policy Statement</b><br><br>To ensure the Health Board delivers its aims, objectives, responsibilities and legal requirements transparently and consistently, we will undertake to plan, monitor and control site contract work to minimise risks to all personnel on the premises.   |  |
| <b>Policy Commitment</b><br><br>Cardiff & Vale UHB believes that an excellent organisation is, by definition, a safe and secure organisation. It follows therefore that minimising risk are inseparable from all other UHB objectives. In keeping with this principle, the UHB will undertake to plan, monitor and control site contract work to minimise risks to all personnel on the premises   |  |
| <b>Supporting Procedures and Written Control Documents</b> <ul style="list-style-type: none"> <li>• Health and Safety Policy</li> <li>• Asbestos Management Policy</li> </ul><br><b>Other supporting documents are:</b> <ul style="list-style-type: none"> <li>• Asbestos Management plan</li> <li>• Capital contract vetting financial control procedure</li> </ul> <i>Contractors General Code of Safe practice and associated operational procedures for Capital planning &amp; estates</i> |  |
| <b>Scope</b><br>This policy applies to all of our staff in all locations including those with honorary contracts The majority of contractors are employed directly by the Capital planning and Estates department which follow local contractor control procedures. This policy also applies to works contracted by other Health Board departments or other parties who may bring contractors on to UHB sites e.g. Cardiff University, Public health Wales etc.                                |  |
| <b>Equality Impact Assessment</b>  | An Equality Impact Assessment (EqIA) has been completed and this found there to be no impact |
| <b>Health Impact Assessment</b>  | A Health Impact Assessment (HIA) is not required for this Policy.                            |
| <b>Policy Approved by</b>  | Health and safety Committee  |
| <b>Group with authority to approve procedures written to explain how this policy will be implemented</b>   | Operational Health and Safety Group  |
| <b>Accountable Executive or Clinical Board Director</b>  | Director of Planning   |
| <b><u>Disclaimer</u></b><br>If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the Governance Directorate.   |  |

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

### Summary of reviews/amendments

| Version Number | Date Review Approved | Date Published | Summary of Amendments  |
|----------------|----------------------|----------------|--|
| 2              | 19/07/2016           | 23/08/2016     | Organisational changes   |
| 3              | 19/07/2016           | 23/08/2016     | Job registration forms required for all high risk contractor activities as defined in appendix 1 (previous appendices had only stipulated this requirement for Capital planning, facilities and estates) |
| 3              | 08/10/2019           | 27/01/2020     | Inclusion of ATP form for fire risk where the fabric of the building is likely to be breached during construction work   |
|                |                      |                |  |

**CARING FOR PEOPLE  
KEEPING PEOPLE WELL**



**GIG  
CYMRU  
NHS  
WALES**

Bwrdd Iechyd Prifysgol  
Caerdydd a'r Fro  
Cardiff and Vale  
University Health Board

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

## Contents

|   | Page No. |
|---|----------|
| 1. Introduction                               | 4        |
| 2. Policy statement                           | 4        |
| 3. Scope                                      | 4        |
| 4. Aims and objectives                        | 5        |
| 5. Management responsibilities                | 6        |
| 6. Definitions                                | 7        |
| 7. Resources                                  | 7        |
| 8. Training                                   | 7        |
| 9. Implementation                             | 7        |
| 10. Control strategy                          | 7        |
| 10.1 Lower risk work                          | 8        |
| 10.2 Higher risk work                         | 8        |
| 10.2.1 Identification of Suitable Contractors |          |
| 10.2.2 Specification/Tender Stage             |          |
| 10.2.3 Monitoring of Tender/Quotation         |          |
| 10.2.4 Awarding the Contract                  |          |
| 10.2.5 Management of Contractors on Site      |          |
| 10.2.6 Contract Monitoring                    |          |
| 10.2.7 Contract Completion/Performance Review |          |

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

|     |                    |    |
|-----|--------------------|----|
| 11. | Equality statement | 11 |
| 12. | Audit              | 12 |
| 13. | Review             | 12 |

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

## 1. Introduction

As a corporate body, the Cardiff and Vale University Health Board (UHB) is responsible for the effective management and control of contractors employed to work on sites owned or used by the UHB.

The UHB has specific duties under the Health and Safety at Work Act 1974 and The Construction (Design & Management) Regulations 2015 and other related regulations on all sites where contracted work is carried out to ensure that all relevant legislation is adhered to. The Contractors general Code of Safe practice appendix 7) sets out the framework for these duties on all parties.

The UHB also has a duty where construction or maintenance falls within the scope of the Construction (Design and Management) Regulations 2015 to ensure, where applicable, notification of the work to be undertaken (form F10) is sent to the enforcing authority (HSE). The Capital Planning and Estates department directly employ the majority of contractors and as such, have developed local procedures to comply with relevant legislation. This policy is to ensure other Clinical boards in the UHB or other parties that may bring contractors onto UHB sites also comply with legislative and UHB requirements.

## 2. Policy statement

Cardiff & Vale UHB believes that an excellent organisation is, by definition, a safe and secure organisation. It follows therefore that minimising risk are inseparable from all other UHB objectives. In keeping with this principle, the UHB will undertake to plan, monitor and control site contract work to minimise risks to all personnel on the premises.

## 3. Scope

The majority of contractors are employed directly by the Capital planning and Estates department which follow local contractor control procedures. This policy also applies to works contracted by other Health Board departments or other parties who may bring contractors on to UHB sites e.g. Cardiff University, Public Health Wales etc.

This policy applies to all sites and premises within the UHB at which new work, maintenance or refurbishment work is undertaken. It applies to all contractors' staff, UHB employees, patients and other persons affected by our safety arrangements. It also applies to Cardiff University where their works cross over onto the directly managed UHB estate. For the purpose of this policy it excludes contractors who provide a service such as medical professional or ambulance service staff or similar.

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

#### **4. Aims and objectives**

- To minimise incidents and control contracted activities within the UHB.
- To improve the health, safety and welfare of contractors and UHB employees affected by construction work and contracted activities.
- To ensure the co-ordination between UHB employees and contractors and self-employed persons who carry out work and activities on our premises so that risks associated with those activities are minimised so far as reasonably practicable.
- To provide a structured approach to Health, Safety and Welfare duties on all sites and in all activities which are undertaken on our premises.
- To ensure that before contracts are finalised the competence of contractors is assessed in relation to health and safety matters.
- To ensure that adequate information is provided to all contractors engaged to work on UHB premises.
- To ensure that all hazards that could affect contractors' personnel are clearly defined and controlled.
- To ensure that the interests of staff, patients, clients and visitors are protected before and during any contract work.

#### **5. Management responsibilities**

- 5.1 The Chief Executive has ultimate responsibility for all aspects of health and safety. Specific responsibilities are delegated through the Board of Directors to ensure that the health and safety requirements of the UHB are met at all levels.
- 5.2 The Executive Director of Planning has the specific responsibility to ensure that all health and safety requirements relevant to their areas of operation are fully met.
- 5.3 Clinical Board Managers are responsible for ensuring arrangements are in place to implement this policy.
- 5.4 Supervising Officers are responsible for:
  - Appointing a competent contractor following appropriate procedures.
  - Completing Checklist (Appendix 1) or JRF form for CEF controlled projects with the contractor to identify any higher risk works and then informing / involving relevant departments.

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

- If works include interfering with the fabric of the building (building pre 2000) asbestos may be present and therefore authorisation must be sought from the Asbestos management team by submitting an authorisation to proceed form' as per UHB Asbestos Management Plan. (Appendix 8)
- Depending on the type and scale of the contract a pre contract meeting may be convened to exchange relevant health and safety information including risk assessments and method statements.
- Ensure when the contractor is on site, they sign in and out and wear appropriate Identification.
- Ensure the contractor is aware of site rules e.g. no smoking policy and that the contractor undertakes any necessary induction training
- Ensure the contractor has the necessary permits to work for higher risk work.
- Monitor contractors performance and report any breaches to the health and safety team the first breach should result in a verbal advisory, the second a yellow card and the third may result in removing contractor from site until breach can be resolved or alternative contractor employed. A major breach which could result in imminent risk of serious injury will result in a red card and work being halted immediately and investigation and rectification before work able to resume.

#### 5.5.1 Capital Planning and Estates Department.

Will provide support to Clinical Boards in implementing this policy including:

- Asbestos Management team issuing authorisation to proceed when works includes interfering with the fabric of the building (building pre 2000).
- Issuing permits to work for higher risk operations.
- Fire team issuing authorisation to proceed for work that involves breaches to the fabric of the building.

#### 5.5 Risk Management

The UHB Health and Safety Department will advise on appropriate measures to meet legal and organisational requirements when requested to do so by Directors or requested to do so by Directors or Directorate / Clinical board Managers

### 6. Definitions

- 6.1 'Contractor' means a Contracting Company or self-employed person engaged directly by Cardiff & Vale UHB for installation work, building or maintenance of plant and / or equipment. For the purpose of this policy it excludes contractors who provide a service such as medical professional or ambulance service staff or similar.
- 6.2 'Sub-Contractor' means a Contracting Company or self-employed person engaged by the 'Contractor' to undertake work in relation to the 'Contractors' work programme with Cardiff & Vale UHB.

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

6.3 'Competent Person' means a person who has sufficient training and experience or knowledge and other qualities to undertake and advise on the measures to be taken to comply with statutory safety legislation.

6.4 Supervising Officer' is the person responsible for the works being undertaken.

## 7. Resources

Any additional resource requirements will be identified through the implementation plan.

## 8. Training

The Executive Director of Planning will ensure that the necessary training or education needs and methods required to implement the policy are identified and resourced or built into the delivery planning process. This may include the identification of external training providers or development of an internal training process.

## 9. Implementation

Each Clinical board is responsible for their implementation of this policy.

## 10. Control strategy

### 10.1 Lower risk work

The Supervising Officer determines if higher risk work involved by ensuring themselves and the contractor jointly complete checklist Appendix 1 or The JRF for CEF controlled works BEFORE the start of the contracted work. For low risk work, follow Appendix 2 flow chart, the main requirements of which are summarised below:-

- Ensure a competent contractor is appointed.
  - Exchange relevant Health and safety information including risk assessments and method statements
  - Provide contractor with a summary of site safety rules for contractors (see Appendix 6).
  - Ensure the contractors are signed in and out and wear appropriate ID.
  - Ensure work is appropriately supervised and monitored.
  - Ensure any incidents or health and safety concerns are acted upon and reported via the UHB incident reporting procedure.

### 10.2 Higher risk work

Supervising Officer determines if higher risk work involved by ensuring themselves and the contractor jointly complete checklist in Appendix 1 or a JRF for CEF controlled work

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

BEFORE the start of the contracted work. For higher risk work, follow Appendix 3 flow chart the main requirements of which are summarised below.

Higher risk work includes the following where the UHB imposes specific requirements controlled by permit to work systems:-

- Work interfering with structural fabric of the building (if building pre 2000 - it could contain asbestos and therefore asbestos management plan requirements must be followed).
- Interrupting or disturbing a service e.g. electrical, piped medical gas, steam, air, hydraulics.
- Carrying out hot work e.g. welding or other flame / spark producing tools.
- Working in confined spaces.
- Working at heights e.g. roof work or scaffolding.
- Excavation or ground works.
- Working with ionising radiation.

#### 10.2.1 Identification of suitable contractors

In addition to the works specification, the UHB's Health and Safety standards must be conveyed to all contractors invited to tender. It is essential to pass on information that may be required to safeguard the interests of UHB staff, patients and visitors who need to be protected before and during contract work.

This information will typically include:

- Significant health and safety risks relevant to the work or site condition which may require control.
- The standards required to control those risks.
- An information sheet identifying common health and safety problems and specific hazards (Appendix 5).

#### 10.2.2 Specification / Tender Stage

The Supervising Officer will ensure that at the tender stage the contractor is registered with safety schemes in procurement (SSIP) and is issued with appropriate internal pre-qualification health and safety questionnaires (Appendix 4 - Contractors Competence Pre- Qualification Questionnaire). If using our internal form (Appendix 4), the completed questionnaires will be returned to the Health and Safety Team for evaluation. Any concerns regarding the questionnaire should be conveyed to the Supervising Officer / Project Manager on successful completion of the questionnaire the Health and Safety team will add the contractor to the UHBs approved list of contractors and retained for future information.

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

It should be noted that the assessment into the competence of a contractor should be proportionate to the risk and scale of proposed work. In essence what is needed is to check that the contractor has sufficient knowledge and understanding of:

- The type of work to be carried out.
- The management of health and safety and control of risks associated with the proposed work.
- The capacity to apply this knowledge and experience to the work in question.

### 10.2.3 Monitoring of Tender/Quotation

When considering returned tender / quotation, in addition to the arithmetical, pricing and financial checks, the following will be taken into account:

- Is the tender price unexpectedly low?
- Has adequate provision been made for health and safety?
- How does the contractor propose to manage health and safety on site, especially any high-risk operations?
- Does the contractor have the infrastructure to manage health & safety effectively?

### 10.2.4 Awarding the Contract

Dependent upon the type and scale of the contract, a pre-contract meeting may be convened. The purpose of the meeting is to discuss contract details and to exchange all relevant health and safety information (Appendix 5) which will include detailed risk assessments, method statements and contractors' on-site procedures.

The Supervising Officer must also provide regular contractors with the contractors General Code of Safe Practice (Appendix 7).

Where the possibility of sub-contracting work exists this can only be done with the agreement of the Supervising Officer. Where such an agreement is reached it is the responsibility of the main contractor to carry out the same checks to the same standards and ensure that all sub-contractors observe these requirements.

Prior to commencement of works the Supervising Officer and the contractor must jointly complete the checklist for contractors Appendix 1 or the JRF for CEF controlled work. The supervising officer must then inform and involve the appropriate departments outlined in the checklist/JRF (i.e. Asbestos team, Estates or Radiation Protection Supervisor)

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

### 10.2.5 Management of Contractors on Site

On arrival at site the contractor must report to the relevant department. If undertaking higher risk work, the contractor and all associated staff will undergo a full health & safety induction at a pre-arranged time on their first day on site. On completion of induction, they will be issued with the following:

- Keys or swipe cards required to enable access to specific areas Which must be signed and authorised by the Supervising Officer
- Contractors' identification badge which must be worn on display whilst on the UHB premises.

Note: contractors not issued with a UHB identification badge must display a Company ID badge or be clearly identifiable to which company they work for (e.g. high visibility vest with company name on it).

- Summary of Cardiff & Vale UHB Mandatory Code of Conduct for Contractors (Site rules see appendix 6).
- Permit(s) to work, if applicable.

### 10.2.6 Contract Monitoring

The Supervising Officer is responsible for monitoring the contractors' progress to ensure work is being carried out in accordance with the terms of the contract and in full compliance with both the contractors and UHB's safety procedures.

Any health and safety exceptions/breaches are acted upon and Reported to the Health and Safety Team and recorded on Datix incident reporting system where relevant

A persistent failure to comply with these requirements may result in termination of the contract and may possibly jeopardise the company from obtaining any future business.

### 10.2.7 Contract Completion / Performance Review

On completion of the contract, the contractor must ensure that the work site is left in a clean and tidy condition, removing all waste, materials, tools or equipment. The Supervising Officer responsible for monitoring the contract will check the area for compliance.

## 11. Equality statement

Cardiff and Vale UHB is committed to ensuring that, as far as is reasonably practicable, the way we provide services to the public and the way we treat our staff, patients and others reflects their individual needs and does not discriminate, harass or victimise individuals or groups. These principles run throughout our work and are reflected in our

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

core values, our staff employment policies, our service standards and our Strategic Equality Plan & Equality Objectives. The responsibility for implementing the scheme falls to all employees and UHB Board members, volunteers, agents or contractors delivering services or undertaking work on behalf of the UHB. We have undertaken an Equality Impact Assessment and received feedback on this policy and the way it operates. We wanted to know of any possible or actual impact that this policy may have on any groups in respect of gender, maternity and pregnancy, carer status, marriage or civil partnership issues, race, disability, sexual orientation, Welsh language, religion or belief, transgender, age or other protected characteristics. The assessment found that there was no impact to the equality groups mentioned.

## 12. Audit

This policy will be audited quarterly initially and annually thereafter.

Key performance indicators include the following.

- Evidence of contractor complying with pre tender selection process:
- Valid Health & Safety Policy
- Incidents being reported
- Risk assessments
- Method statements.
- Evidence of contractors being provided with health & safety information.
- Evidence of pre site checklist being completed (Appendix 1/JRF).

## 13. Review

This policy will be reviewed every 3 years or sooner if appropriate.

|   |  |                      |             |
|---|--|----------------------|-------------|
| Document title: Control of contractors policy |  | Approval date        | 08 Oct 2019 |
| Reference number: UHB 163                     |  | Next review date.    | 08 Oct 2022 |
| Version Number: 3                             |  | Date of publication. | 27 Jan 2020 |
| Approved by: Health and Safety Committee      |  |                      |             |

- Appendix 1 Checklist for Contractors for higher risk work (non CEF work) <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 1 Checklist before the start of contract work.doc>
- Appendix 2 Flow chart for lower risk work by UHB departments other than Capital Planning & Estates <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 2 Lower risk work flow chart.doc>
- Appendix 3 Flow chart for higher risk work by UHB departments other than Capital Planning & Estates <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 3 Higher risk work flow chart.docx>
- Appendix 4 Contractor Competence Pre-Qualification Questionnaire <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 4 Contractor competence pre qualification questionnaire.pdf>
- Appendix 5 Contractors Information sheet <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 5 contractors information sheet.doc>
- Appendix 6 Summary of site rules for Contractors <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Control of Contractors Policy Appendix 6.docx>
- Appendix 7 Contractor General Code of Safe Practice <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 7 - Contractors General Code of Safe Practice sept 19.doc>
- Appendix 8 Asbestos Authorisation to Proceed Form <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\appendix 8 ATP - Amended V3.docx>
- Appendix 9 Control of Contractors quick guide for capital planning, facilities and estates and flow chart <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\Appendix 9 - Control of contractors quick guide.docx>
- Appendix 10 Job registration form <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\appendix 10 -Job Registration Form.docx>
- Appendix 11 Fire Authorisation to Proceed Form <U:\H&S & Asbestos Files\contractor control policy\control of contractors policy review 19\appendix 11 Fire safety authorisation to proceed.doc>