

Reference Number: IMS 14-01-CAV-Pol (UHB 163) Version Number: 4	Date of Next Review: 18 April 2026 Previous Trust/LHB Reference Number: UHB 163
Control of Contractors Policy	
Policy Statement To ensure that 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.	
Policy Commitment The Cardiff and Vale University Health Board (UHB) have determined that an excellent organisation is, by definition, a safe and secure organisation. It follows therefore, that minimising risks 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 all premises.	
Supporting Procedures and Written Control Documents <ul style="list-style-type: none"> • Health and Safety Policy • Asbestos Management Policy Other supporting documents are: <ul style="list-style-type: none"> • Asbestos Management Plan • Capital Contract Vetting Financial Control Procedures • Contractors General Code of Safe Practice <i>and associated operational procedures</i> 	
Scope This policy applies to all of our staff in all locations including those with honorary contracts. Although the majority of contractors are employed directly by the Capital Estates and Facilities Department, 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.	
Equality Impact Assessment:	An Equality Impact Assessment (EqIA) has been completed and this found there to be no impact.
Health Impact Assessment:	A Health Impact Assessment (HIA) is not required for this Policy.
Policy Approved by:	Health and Safety Sub-Committee.
Group with authority to approve procedures written to explain how this policy will be implemented:	Operational Health and Safety Group.
Accountable Executive or Clinical Board Director:	Director of Planning and Executive Director of People and Culture
<p><u>Disclaimer</u></p> <p>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.</p>	

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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 Form (JRF) 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.
4	15/12/2022		Periodic review along with some minor changes to endorse that this Policy is applicable to All Clinical and Service Boards engaging contractors. Review completed by Head of Health and Safety, Health and Safety Adviser and Compliance & Asbestos Team Manager.

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1. Introduction

As a corporate body, the 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 etc. 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 (Health and Safety Executive).

The majority of contractors are employed directly by the Capital Estates and Facilities service board which assisted in the development of this UHB Control of Contractors Policy and the supporting documentation included in the Appendices.

This policy is to ensure that in addition to Capital Estates and Facilities 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

The UHB have determined 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

This is a UHB wide policy and as such applies to all staff across the UHB estate, including where applicable, lease accommodation, honorary contracts and the staff working therein. The policy also applies to other parties where works impact on the UHB estates such as Cardiff University, Public Health Wales etc.

This policy covers all contractor work / activity across the UHB irrespective of who is engaging, controlling and managing the contractors.

4. Aims and objectives

- To minimise incidents and control contracted out activities within the UHB.

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- To improve the health, safety and welfare of contractors and UHB employees affected by construction work and contracted out work activities.
- To ensure the co-ordination between UHB employees and contractors / self-employed persons who carry out work and activities on UHB premises so that risks associated with those activities are minimised so far as is reasonably practicable.
- To provide a structured approach to health, safety and welfare duties on all sites and in all works, which are undertaken on UHB premises.
- To ensure that before contracts are finalised, the health and safety competence of contractors is assessed.
- To ensure that adequate information is provided to all contractors engaged to work across the UHB estates.
- To ensure that all hazards that could affect contractors' personnel are clearly defined and controlled.
- To ensure that the interests of staff, patients, visitors and others 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 and the Executive Director of People and Culture have the specific responsibility to ensure that all health and safety requirements relevant to their areas of operation are fully met.
- 5.3 Service / Clinical Board Managers are responsible for ensuring arrangements are in place to implement this policy including:
- Appointing a contractor Supervising Officer and ensure they are competent before fulfilling their duties.
 - Ensuring that there is suitable induction material and information available for contractors covering the key points for the site they are operating on.
 - Carrying out contractor induction, and maintaining suitable records.
 - Managing their own contractors and associated procurement requirements.

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5.4 Supervising Officers must complete the relevant training prior to being authorised to bring contractors to site. For work identified as HIGHER RISK the Supervising Officer appointment must also be verified by CEF Assurance, Compliance & Asbestos Team or Corporate Health and Safety.

Supervising Officers are responsible for:

- Appointing a competent contractor following appropriate procedures.
- Completing the Job Registration Form (JRF) – Appendix 10 with the contractor to identify the high-risk elements of the work.
- If works include interfering with the fabric of the building (for buildings pre-2000) asbestos may be present and therefore authorisation must be sought from the asbestos management team by submitting an *Asbestos – Authorisation to Proceed (ATP) form - Appendix 8* along with accurate plans showing cable runs / routes and risk assessments and method statements (RA/MS) etc.
- If works include breaches to the buildings compartmentation authorisation must be sought from the Health and Safety Department – Fire Safety Team by submitting a *Fire Safety – Authorisation to Proceed (ATP) form – Appendix 11* along with accurate plans showing the proposed breaches and risk assessments and method statements (RA/MS) etc.
- 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 is signed on for the duration of the works and undertakes mandatory 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 Department or the Assurance and Compliance and Asbestos team (dependent upon who the contractor is working for) 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, see *Appendix 12 – Contractor Monitoring Guidance*.
- RA/MS should be assessed by the supervising officer, for suitability, accuracy and completeness. It is expected that all risk

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assessments/method statements provided by the Principal Contractor/
Sub Contractor will meet the necessary standard.

- Where possible and for all planned & non-emergency work 7 days' notice must be given for work that requires the isolation of any service e.g. LV/ HV Electrical, Fire Alarm, Steam etc.
- Ensure that, whenever possible, lifting operations are carried out at weekends.

5.5 Capital Estates and Facilities:

Will provide necessary support where applicable, to Clinical Boards in implementing this policy including:

- Supporting the review of task specific risk assessments/method statements.
- The Assurance Compliance and Asbestos team, issuing authorisation to proceed when works includes interfering with the fabric of the building (for buildings pre-2000).
- Issuing permits to work for higher risk operations.
- Provision of service isolations.

5.6 Health and Safety Department:

Will provide necessary support where applicable, to Clinical Boards in implementing this policy including:

- Support, assist and assess the contractor Supervising Officer as competent.
- Issuing Authorisation to Proceed (ATP) for work that involves breaches to the building compartmentation.
- Support the review of task specific risk assessments/method statements.
- Where work is deemed to be high risk or complex in nature undertake the review.
- Support Health, Safety and Fire planning for refurbishments, new builds and other significant engineering projects.
- Review the suitability of site induction materials and arrangements and recommend improvements as appropriate.
- Advise on appropriate measures to meet legal and organisational requirements.
- Provide the assurance through audit that contractor control procedure is being followed.

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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 etc.
- 6.2 'Sub-Contractor' means a Contracting Company or self-employed person engaged by the 'Principal Contractor' to undertake work in relation to the 'Principal Contractors' work programme with Cardiff & Vale UHB.
- 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 usually the person who engages the contractor and is required to facilitate, plan, supervise the contracted works as the responsible person for the Health Board, for the works being undertaken.

7. Resources

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

8. Training

The Executive Director of Planning will ensure that the necessary training or education needs and methods required to implement the Control of Contractors 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 Service/Clinical Board is responsible for their implementation of the Control of Contractors Policy.

10. Control strategy

10.1 Lower risk work

The Supervising Officer determines if there is higher risk work involved, by ensuring that, he / she and the contractor jointly complete *Checklist Before the Start of Contract Work – Appendix 1* and the *The Job Registration Form (JRF) – Appendix 11* before the start of the contracted work. For low risk work, follow *Appendix 2 – Management of Low Risk Work* flow chart, the main requirements of which are summarised below:

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- Ensure a competent contractor is appointed.
- Exchange relevant Health and safety information including risk assessments and method statements
Provide contractor with a copy of *Safety Rules for Contractors – Appendix 6* and *Contractors General Code of Safe Practice – Appendix 7*.
- Provide a site induction.
- 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

For high risk work, follow *Appendix 3 – Management of High-Risk Work* flow chart, where, in addition to the requirements above, the UHB imposes specific requirements controlled by Permit to Work system which include:

- 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.
- Permit to lift
- Roof Access

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 & safety anomalies and specific hazards. See *Appendix 5 – Contractors Information Sheet*.

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10.2.2 Specification / Tender Stage

The Supervising Officer will ensure that at the tender stage the contractor is preferably registered with Safety Schemes in Procurement (SSIP), or has met the requirements of the UHB's Control of Contractors Health and Safety Questionnaire (CCHSQ1) - *Appendix 4 - Pre- Qualification Questionnaire*. If using our internal form (Appendix 4).

The completed questionnaires will be returned to either the Assurance, Compliance and Asbestos Team or the Health and Safety Department for evaluation. Any concerns regarding the questionnaire should be conveyed back to the Supervising Officer. On successful completion of the questionnaire the Assurance, Compliance and Asbestos Team will add the contractor to the UHBs approved list of contractors and their supporting documentation be retained.

It should be noted that the assessment of 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 the 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 the returned tender / quotation, in addition to the arithmetical, pricing and financial checks, the following will be considered:

- 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 which will include detailed risk assessments, method statements and contractors' on-site procedures.

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 principal contractor

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to carry out the same checks to the same standards that the principal contractor is subject to and ensure that all sub-contractors observe the requirements set out in this policy.

Prior to commencement of works the Supervising Officer must then inform and involve the appropriate departments outlined in the completed checklists/JRF (i.e. Asbestos Management Team, Health and Safety Department, Estates Department or Radiation Protection Supervisor).

10.2.5 Management of Contractors on Site

On arrival at site the contractor must report to the relevant department. The contractor will undergo a full health & safety induction at a pre-arranged time on their first day on site. Where applicable, 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 (usually provided to long term contractors only).

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).

Contractors will be signed in by the Supervising Officer and should sign in/out on a daily basis.

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 health and safety procedures. A monitoring form is available – see *Appendix 12 – Contractor Monitoring Guidance*.

Any health and safety exceptions/breaches are acted upon and reported to the Health and Safety Department and the CEF Assurance, Compliance and Asbestos Team and are 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

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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

The 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 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 is audited. 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 procedures/checklists being completed.

13. Review

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

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Appendices

Appendix 1	Checklist Before the Start of Contract Work	 Appendix 1 - Checklist Before the S
Appendix 2	Management of Low Risk Work	 Appendix 2 - Management of Low I
Appendix 3	Management of High-Risk Work	 Appendix 3 - Management of High
Appendix 4	Pre-Qualification Questionnaire - CCHSQ1	 Appendix 4 - Pre Qualification Question
Appendix 5	Contractors Information Sheet	 Appendix 5 - Contractors Informati
Appendix 6	Safety Rules for Contractors	 Appendix 6 - Safety Rules for Contractors.
Appendix 7	Contractors General Code of Safe Practice	 Appendix 7 - Contractors General C
Appendix 8	Asbestos - Authorisation to Proceed Form	 Appendix 8 - Asbestos - Authorisati
Appendix 9	Control of Contractors Quick Guide	 Appendix 9 - Control of Contractors Quick t
Appendix 10	Job Registration Form	 Appendix 10 - Job Registration Form.pdf
Appendix 11	Fire Safety - Authorisation to Proceed	 Appendix 11 - Fire Safety - Authorisation
Appendix 12	Contractor Monitoring Guidance Form	 Appendix 12 - Contractor Monitoring