

# Control of Contractors Procedure

## CORP-0049-v3.1

**Status: Approved**

**Document type: Procedure**

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## 1 Purpose

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The purpose of this procedure is to:

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| <ul style="list-style-type: none"> <li>• Integrate the health and safety guidelines on Contractors into the Trust's Health &amp; Safety policy</li> </ul>  |
| <ul style="list-style-type: none"> <li>• Communicate how the Trust organises and manages Contractors to comply with the Health and Safety at Work Act 1974</li> </ul>  |
| <ul style="list-style-type: none"> <li>• Identify duties of Trust EFM staff responsible for the management of Contractors on Trust Sites</li> </ul>  |
| <ul style="list-style-type: none"> <li>• Monitor and apply appropriate control over the health and safety performance of Contractors who perform work on behalf of the Trust digitally via the Reset Certification Scheme (RESET) and manually as and when required</li> </ul> |

## 2 Related documents

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This procedure is linked to:-

- ✓ Health and Safety Policy [HS-001-v9] [Health and Safety Policy](#)
- ✓ Asbestos Management Policy [Corp-0009-v5] [Asbestos Procedure](#)
- ✓ Contractor Site Rules Document [Contractor Site Rules](#)
- ✓ Schedule Of Works Document [Schedule of Works.docx](#)
- ✓ TEWV Pre Construction Information H&S Plan [TEWV Pre Construction Information](#)
- ✓ TEWV Pre Construction Phase H&S Plan – Doc 1A [TEWV CPHSP Doc 1A Multiple Contratcors.docx](#)
- ✓ TEWV Pre Construction Phase H&S Plan - Doc 1B [TEWV CPHSP Doc 1B Single Contractor.docx](#)

## 3 Procedure

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- The aim of this procedure is to establish consistent Trust-wide standards for the employment, management, supervision and control of Estates and Capital Development employed Contractors working on behalf of the Trust and to ensure compliance with all relevant legislation and Trust Policies.
- To ensure a consistent approach from the Trust and its appointed Contractors towards compliance with health and safety.

### 3.1 Who this procedure applies to

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- This procedure applies to **ALL** Contractors and Sub-Contractors working on Trust premise under Estates and Capital Development

### 3.2 To whom this procedure does not apply

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- **Soft FM Services:** - Following formal tendering exercises contracts have been let in respect of Pest Control, Window Cleaning and Feminine Hygiene services with the staff attending on Trust premises subject to the conditions and controls detailed in the service Specifications.
- **Information Service Desk:** - Contractors appointed by responsible officer within the Information Team are the responsibility of the appointing “responsible” Officer. However the responsible officer must have suitable and sufficient procedures in place in order to ensure that works undertaken on behalf of the trust are compliant with all statutory instruments and current legislation. All relevant regulatory bodies are to be informed of any works prior to works commencing and within legislative time lines.

### 3.3 Determining Competence

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- **ALL** Contractors **MUST** be a registered company member of RESET prior to any works starting on site
- **ALL** operatives working on trust sites **MUST** be in possession of a valid RESET Card or have access to a virtual RESET card Via the RESET App
- Exceptions to the above must be under exceptional circumstances and must be approved by an Estates Officer or Officer On Call prior to engaging a contractor not registered with RESET
- Should a Contractor not be a registered member of RESET the Responsible Officer **MUST** create a new **JOB** file on the RESET web based system (for auditing and monitoring purposes) and attach evidence of the following none exhaustive list prior to works commencing on site:
  - - Evidence of Education, qualifications, professional registration of operatives attending site
  - - Company Health and Safety Policy
  - - Site specific Risk Assessment and Method Statement

- - Evidence of Operatives training and qualifications relevant to the task being undertaken
- - Suitable Levels of Liability insurance dependent upon the task being undertaken.
- - COSHH Data Sheets
- - Notification of any HSE Prosecutions or improvement

notices A Copy Responsible Officers Checklist is available at:

### 3.4 Engaging a contractor

- Contractors working for the Trust **MUST** be a registered company member of RESET or willing to join RESET prior to any works commencing on site.
- Contractors can be chosen from the RESET member Directory and should they be deemed to pass the minimum requirements as set out on the RESET PQQ for the Trust, can be added to the recognised suppliers list
- For **ALL** planned works Contractors **MUST** be issued with the following:-
  - Trust standard Schedule of Works
  - TEWV Document 1 (**Clients Pre Construction Information H&S plan**)
  - TEWV Document 1A or 1B (Contractors Construction H&S Phase Plan)
  - TEWV Contractors Site Rules Documents
  - All relevant policies and Procures such as, Asbestos Management Plan, Fire Safety Procedure, Water Safety Plan
- For reactive, unplanned and emergency works where it is not possible to issue a full Schedule of Works a completed Pre Construction information document must be issued and be in receipt of the contractors Construction Phase H&S Plan
- All Documents are available at : [Control of Contractors Documents](#)

### 3.5 Contractor Co-ordination and Pre-Start Meetings

- Confirmation Contractor is a registered member of RESET works.
- Overall activities involving the contractor should be managed by a Co-ordinator i.e. an Estates 'Responsible Officer';
- Pre-start meeting(s) should be conducted to clarify and agree 'Responsible Officer' / Contractor responsibilities, communication lines, statutory requirements, compliance issues, etc., any specific arrangements / problems in the work or site etc., and should be chaired by the 'Responsible Officer's' Co-ordinator;
- These meetings should include Sub-Contractors where necessary;
- Health, Safety and Environmental targets (such as waste, etc.) can be set for each contract, e.g. meeting schedules, the frequency of housekeeping tours, the numbers of equipment checks, inspection regimes, etc.;
- Minutes of the pre-start meeting(s) must be kept and distributed to those present.

### 3.6 Induction Permits Site and Access Control

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- All operatives should fully review the TRUST Contractor site rules and raise any concerns to the responsible officer. A site specific induction may be requested by the responsible officer and this **MUST** be recorded and a copy saved onto the RESET job File.
- Induction records shall be kept on the Job / Project File or within the Schedule of Works document
- **ALL** Contractors **MUST** sign in and out using the RESET terminals or RFID badges across the Trust. In the event a Contractor is unable to sign in using a RESET terminal or RFID Badge they **MUST** inform the Appointing Officer / Project Lead when they arrive and leave site.
- More information on RESET is available here: [www.rcscard.co.uk](http://www.rcscard.co.uk)
- The Estates Department / Capital Development Responsible Officer will ensure that Contractors (and their employees where necessary) are given a suitable site-specific induction relating to the risks, site arrangements, procedures, restrictions and access. The contractor will be informed of the Responsible Officers contact details and hierarchy of control.
- Additional information for Contractors including Site specific Induction, generic permit to work, Roof Access and confined space working are available within the Trust Contractors Site Rules Document

### 3.7 Completion and project handover

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- The Estates and or Capital Developments Responsible Officer shall take every care that the new installation and the relevant documentation, test certificates, manuals, completion drawings, etc., are of suitable workmanship, materials and content in accordance with the job specification and the British or other Standards specified therein. A snagging list will be compiled for any aspect which does not comply with the standards required.

## 4 References

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- The Health & Safety at Work act 1974 (HSW ACT) and associated acts and regulations are to be applied with regards to tendering, appointing and concluding work with Contractors.  
Specific Acts and regulations to be applied, though not exhaustive are:
- Management of Health and Safety at Work Regulations 1999
- Electricity at Work Regulations 1989
- Construction (Health Safety Welfare) Regulations 1996
- Construction (Design and Management) Regulations 2015
- Health and Safety (Consultation with Employees ) Regulations 1996
- Control of Substances Hazardous to Health 2002
- Provision and Use of Work Equipment Regulations 1998
- Health and Safety (Safety Sign and Signals) Regulations 1996
- Employers Liability (Compulsory Insurance) Act 1969
- Regulatory Reform (Fire Safety) Order 2005
- Control of Asbestos at Work Regulations 2012
- Control of Lead at work 2002
- Ionising Radiation Regulations 1999
- Manual Handling Operations Regulations 1992
- Personal Protective Equipment Regulations 1992
- Display Screen Equipment Regulations 1992
- Noise at Work Regulations 2005
- Working at Height Regulations 2005

## 5 How this procedure will be implemented

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|--|
| <ul style="list-style-type: none"> <li>This procedure will be published on the Trust's intranet and external website.</li> </ul>   |
| <ul style="list-style-type: none"> <li>Line managers will disseminate this procedure to all Trust employees through a line management briefing and tool box talks</li> </ul> |
| Contractors informed of the control of contractors procedure and that the Trust is to utilise RESET as it compliance tool  |

### 5.1 Training needs analysis

| Staff/Professional Group             | Type of Training                                  | Duration                                     | Frequency of Training                                      |
|--------------------------------------|---|--|--|
| Responsible Officers – Project Leads | SMSTS<br>(Site Management Safety Training Scheme) | 5 Days                                       | Refresher required prior to the 5 year expiration date     |
| Responsible Officers – Project Leads | RESET Web based portal training                   | ½ day internal training by competent Officer | Ongoing as and when required until competency is achieved. |

## 6 How the implementation of this procedure will be monitored

| <ul style="list-style-type: none"> <li>Contractors can be stopped at any point by any responsible officer on any trust site and asked to show their RESET card.</li> <li>RESET will be monitored by approved system verifiers and responsible officers to ensure all contractors working on site have the required competencies evidenced.</li> <li>Any contractor on site without a valid RESET, failing to sign in or having a virtual card available for inspection may be asked to leave site</li> </ul> |                                      |  |   |
|--|--------------------------------------|--|---|
| Auditable Standard/Key Performance Indicators  |                                      | Frequency/Method/Person Responsible  | Where results and any Associate Action Plan will be reported to, implemented and monitored; (this will usually be via the relevant Governance Group). |
| 1  | RESET                                | Constant monitoring of the RESET Web based system in order to track Contractors and individuals compliance on sites across the Trust |   |
| 2  | Audits responsible officers projects | Spot Audits of responsible officers compliance management. Checking for  |   |



|  |  |   |  |
|--|--|---|--|
|  |  | Evidence of contractor compliance such as RAMS, competency, insurances and health and safety policies |  |
|--|--|---|--|

## 7 Document control

|   |   |   |
|---|---|---|
| Date of approval:   | 07 May 2019                                     |   |
| Next review date:   | 31 January 2025                                 |   |
| This document replaces:                                   | CORP-0049-v3 Control of Contractors Procedure   |   |
| Lead:   | Name  | Title   |
|   | George Watson                                   | Estates Officer   |
| Members of working party:                                 | Name  | Title   |
|   | N/A   | N/A   |
| This document has been agreed and accepted by: (Director) | Name  | Title   |
|   | Paul Foxtan                                     | Director of Estates, Capital Planning and Facilities Management |
| This document was approved by:                            | Name of committee/group                         | Date  |
|   | Health, Safety, Security and Fire Working Group | 07 May 2019   |
| This document was ratified by:                            | Name of committee/group                         | Date  |
|   | N/A   | N/A   |
| An equality analysis was completed on this document on:   | 18 March 2019                                   |   |

### 7.1.1 Change record

| Version | Date          | Amendment details  | Status    |
|---------|---------------|--|-----------|
| V3      | 07 May 2019   | Full review of procedure, updated due to legislative changes, Inclusion of RESET for the selection and monitoring of contractors | Withdrawn |
| V3.1    | 13 Feb 2020   | Name and job title changes   | Published |
| V3.1    | 12 April 2021 | Review date extended to 17 August 2023   | Published |
| V3.1    | 12 March 2023 | Review date extended to 31 May 2024  | Published |
| V3.1    | May 2024      | Review date extended to 31 October 2024  | Published |
| V3.1    | Oct 2024      | Review date extended to 31 Jan 2025  | Published |

## **Appendix 1 - Equality Analysis Screening Form**

**Please note; The Equality Analysis Policy and Equality Analysis Guidance can be found on InTouch on the policies page**

|   |  |  |                       |   |                  |
|---|--|--|-----------------------|---|------------------|
| Name of Service area, Directorate/Department i.e. substance misuse, corporate, finance etc.                             | Estates Department, EFM Directorate, Corporate   |  |                       |   |                  |
| Name of responsible person and job title  | Mr Paul Foxton – Director of Estates Facilities and Capital Development  |  |                       |   |                  |
| Name of working party, to include any other individuals, agencies or groups involved in this analysis                   |  |  |                       |   |                  |
| Policy (document/service) name  | Control of Contractors Procedure   |  |                       |   |                  |
| Is the area being assessed a...   | Policy/Strategy  |  | Service/Business plan |   | Project          |
|   | Procedure/Guidance   |  |                       | x | Code of practice |
|   | Other – Please state   |  |                       |   |                  |
| Geographical area covered   | Trust Wide   |  |                       |   |                  |
| Aims and objectives   | <ul style="list-style-type: none"> <li>- The aim of this procedure is to establish consistent Trust-wide standards for the employment, management, supervision and control of Estates and Capital Development employed Contractors working on behalf of the Trust and to ensure compliance with all relevant legislation and Trust Policies.</li> <li>- To Ensure a consistent approach from the Trust and its appointed Contractors towards compliance with health and safety.</li> </ul> |  |                       |   |                  |
| Start date of Equality Analysis Screening (This is the date you are asked to write or review the document/service etc.) | March 2018   |  |                       |   |                  |

|  |                   |
|--|-------------------|
| End date of Equality Analysis Screening<br>(This is when you have completed the equality analysis and it is ready to go to EMT to be approved) | <b>March 2019</b> |
|--|-------------------|

**You must contact the EDHR team if you identify a negative impact. Please ring Sarah Jay or Julie Barfoot on 0191 3336267/3046**

|  |    |   |    |  |    |
|--|----|---|----|--|----|
| 1. Who does the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan benefit?   |    |   |    |  |    |
| All trust staff, patients and visitors through ensuring that contractors working on behalf of the trust are managed appropriately and in line with the procedure.            |    |   |    |  |    |
| 2. Will the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan impact negatively on any of the protected characteristic groups below? |    |   |    |  |    |
| <b>Race</b> (including Gypsy and Traveller)  | No | <b>Disability</b> (includes physical, learning, mental health, sensory and medical disabilities)              | No | <b>Gender</b> (Men, women and gender neutral etc.)   | No |
| <b>Gender reassignment</b> (Transgender and gender identity)   | No | <b>Sexual Orientation</b> (Lesbian, Gay, Bisexual and Heterosexual etc.)                                      | No | <b>Age</b> (includes, young people, older people – people of all ages)   | No |
| <b>Religion or Belief</b> (includes faith groups, atheism and philosophical belief's)  | No | <b>Pregnancy and Maternity</b> (includes pregnancy, women who are breastfeeding and women on maternity leave) | No | <b>Marriage and Civil Partnership</b> (includes opposite and same sex couples who are married or civil partners) | No |
| <b>Yes</b> – Please describe anticipated negative impact/s<br><b>No</b> – Please describe any positive impacts/s   |    |   |    |  |    |

|  |  |  |   |    |  |
|--|--|--|---|----|--|
| 3. Have you considered other sources of information such as; legislation, codes of practice, best practice, nice guidelines, CQC reports or feedback etc.?   |  | Yes  | X | No |  |
| If 'No', why not?  |  |  |   |    |  |
| Sources of Information may include:  |  |  |   |    |  |
| <ul style="list-style-type: none"> <li>• Feedback from equality bodies, Care Quality Commission, Equality and Human Rights Commission, etc.</li> <li>• Investigation findings</li> <li>• Trust Strategic Direction</li> <li>• Data collection/analysis</li> <li>• National Guidance/Reports</li> </ul>               |  | <ul style="list-style-type: none"> <li>• Staff grievances</li> <li>• Media</li> <li>• Community Consultation/Consultation Groups</li> <li>• Internal Consultation</li> <li>• Research</li> <li>• Other (Please state below)</li> </ul> |   |    |  |
| 4. Have you engaged or consulted with service users, carers, staff and other stakeholders including people from the following protected groups?: Race, Disability, Gender, Gender reassignment (Trans), Sexual Orientation (LGB), Religion or Belief, Age, Pregnancy and Maternity or Marriage and Civil Partnership |  |  |   |    |  |
| Yes – Please describe the engagement and involvement that has taken place  |  |  |   |    |  |
| Procedure has been issued to all management employees within EFM for comment / Approval through DMT meetings   |  |  |   |    |  |
| No – Please describe future plans that you may have to engage and involve people from different groups   |  |  |   |    |  |
|  |  |  |   |    |  |

|  |   |               |    |                                       |                 |
|--|---|---------------|----|---------------------------------------|-----------------|
| 5. As part of this equality analysis have any training needs/service needs been identified?  |   |               |    |                                       |                 |
| Yes  | Please describe the identified training needs/service needs below |               |    |                                       |                 |
| A training need has been identified for; Responsible officers and supervisors who appoint and manage contractors on behalf of the trust  |   |               |    |                                       |                 |
| Trust staff  | Yes   | Service users | No | Contractors or other outside agencies | No              |
| <b>Make sure that you have checked the information and that you are comfortable that additional evidence can provided if you are required to do so</b>                                   |   |               |    |                                       |                 |
| The completed EA has been signed off by:<br>You the Policy owner/manager:<br>Type name: Graham Nellis  |   |               |    |                                       | Date:18.03.2019 |
| Your reporting (line) manager:<br>Type name: Dave Turner   |   |               |    |                                       | Date:18.03.2019 |
| If you need further advice or information on equality analysis, the EDHR team host surgeries to support you in this process, to book on and find out more please call: 0191 3336267/3046 |   |               |    |                                       |                 |

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