



# POLICY FOR THE CONTROL OF CONTRACTORS

**A policy for the management of Contractors working on Trust premises**

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For use by	All Trust employees

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 Please contact the Estates Department  
 on 0161 279 4935

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## Change record form

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# 1 Introduction

**N.B – for the purposes of this policy a Contractor is defined as a person or firm that undertakes a contract to provide materials or labour to perform a service or do a job on behalf of the Trust at Trust premises.**

Where a Legal Agreement is in place to provide these services on behalf of NWAS the other party to the agreement will be deemed to be the Contractor for the purposes of this policy.

- 1.1 North West Ambulance Service NHS Trust (NWAS) recognises and accepts that, as an employer, it has a legal duty to safeguard the Health and Safety of all staff, patients and visitors who use its services and premises.

The Trust requires that all Contractors employed by the Trust play their part in ensuring that the work they undertake on behalf of the Trust complies with all Health & Safety legislation and with the Trusts' local procedures.

- 1.2 The Trust will plan, coordinate and monitor the activities of all Contractors to effectively minimise the risks presented to employees, patients and visitors on all premises owned by the Trust.

- 1.3 Where premises **not** owned by the Trust are used for Trust activities the Trust will seek to ensure that they plan, coordinate and monitor the activities of all Contractors they engage following local policies and procedures to minimise the risks presented to employees, patients and visitors on such premises.

- 1.4 This policy has been produced with the objective of providing a mechanism for identifying and minimising risks surrounding the activities of Contractors in order to reduce the potential for accidents or incidents and to comply with its legal obligations. It has also been developed to ensure that the Trust has a mechanism designed to ensure it only employs competent Contractors.

- 1.5 All NWAS Departments employing Contractors are required to monitor those Contractors activities to ensure that health and safety systems and procedures are implemented and operated for their own safety and also for the safety of North West Ambulance Service employees, patients and visitors.

- 1.6 The NWAS Department shall also ensure that all Contractors are adequately supervised whilst on Trust premises. They must also provide Contractors with information regarding any risks to which they may be exposed during their attendance/presence on site.

Contractors must also have clear instructions/information regarding site fire safety procedures, accident/incident reporting requirements and first aid arrangements.

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1.7 No Contractor whose Health & Safety protocols and procedures have not been pre-approved by the Risk and Safety Team will be permitted to work on the Trust's behalf. Trust employees seeking to employ Contractors who have not been pre-approved shall seek guidance from the Risk and Safety Team at the earliest opportunity.

Before engaging any Contractor the Trust Department shall ask them to complete the pre-qualification questionnaire in Appendix 1. The completed form should be submitted to the Risk and Safety Team for approval. Only Contractors who have demonstrated the necessary health and safety competence will be permitted to work on the Trust's behalf.

1.7 The Trust has a legal responsibility to manage Contractors, and the Chief Executive has ultimate responsibility to ensure systems and procedures are in place.

1.8 The Director of Finance is the delegated board member for the effective management of the Trust's properties and buildings and will have overall responsibility for implementing the policy.

1.9 This Policy covers **all** Contractors employed by the Trust for non-clinical activity. Non-clinical Contractors are those who are not involved or employed in the direct care of patients or who have direct access to patients or patient information in the course of their normal work.

## 2 Purpose

2.1 The purpose of this policy is to ensure the health, safety and security of all staff, Contractors, visitors and patients of the Trust.

2.2 The policy aims to:

- Assist all employees of the Trust to adopt a positive approach to the control of Contractors working in Trust premises.
- Ensure that the Trust only employs Contractors that are competent and able to work in a healthy, safe and secure manner.
- Introduce checklists for the risk assessment and safe planning of work undertaken by Contractors on behalf of the Trust.
- Minimize the risk of incidents and control Contractors activities within the Trust
- Protect the health, safety, welfare and security of Contractors, Trust staff, patients and visitors affected by work and maintenance activities prior to and during any works.
- Improve the co-ordination between staff, Contractors and self-employed staff who carry out work in Trust premises to minimise risk
- Ensure that, prior to contracts being finalised, the Contractor has demonstrated their competencies in relation to the works activities and health and safety requirements
- Ensure adequate information is provided to Contractors, engaged to carry out work on Trust premises, prior to commencement

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- To ensure all hazards that could potentially affect the Contractors personnel are clearly identified and controlled

### 3 Scope

3.1 This policy covers work activities on all the Trust's properties where Contractors are used. It includes all work carried on behalf of the Trust in Trust premises that is not being carried out by Trust employees. It should be noted that the policy is intended to cover Trust premises only and does not cover leased or hired premises (unless the work is being carried out directly for the Trust).

3.2 The Trust has a statutory duty to ensure that only Contractors who have the necessary health and safety competence and the resources to carry out their work in a safe manner are engaged.

Furthermore the Trust must ensure that a suitable and sufficient risk assessment is carried out to ensure that Contractors are provided with information regarding any risks to which they may be exposed during their attendance/presence on site. The Trust must also ensure that procedures and systems are in place to control or remove the risk.

3.3 This policy has been prepared to achieve compliance with both the Health and Safety at Work etc. Act 1974 and the Management of Health and Safety at Work Regulations 1999 and further more specific interacting Regulations which support these including (but not limited to):-

- Personal Protective Equipment and Work Regulations 2002
- Construction Design and Management Regulations
- Provision and Use of Work Equipment Regulations
- Noise at Work Regulations
- The Construction (Health, Safety and Welfare) Regulations
- Confined Space Regulations
- Pressure Systems and Transportable Gas Cylinder Regulations
- The Control of Substances Hazardous to Health Regulations
- The Control of Asbestos at Work and the Asbestos Licensing Regulations
- The Electricity at Work Regulations
- The Manual Handling Regulations

3.4 Health, safety and security are the personal responsibility of each individual. All Contractors shall take reasonable care of their own health, safety and security as well as that of others who may be affected by their acts or omissions. They have to co-operate with their employer on health, safety and security and not interfere with or misuse anything provided for health, safety and security.

3.5 This document shall be applicable to all contracts. Requirements and procedures to achieve this are set out in this document. However, it must not be assumed that the contents of this document embrace every contingency or hazard which can arise.

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- 3.6 This document does not relieve any employer of his responsibilities to his employees nor of his liabilities under the conditions governing any contract he may have entered into with North West Ambulance Service.
- 3.7 This document shall be read in conjunction with the North West Ambulance Service General Conditions of Contract.
- 3.8 The North West Ambulance Service NHS trust Control of Contractors policy is intended to ensure:
- The selection of competent Contractors.
  - The effective management, co-ordination monitoring and reviewing of
  - Contractors' activities on site.
  - The effective monitoring and reviewing of Contractors' compliance to
  - Legislation, Estate Management Department Procedures and Site Safety Rules.
  - The Contractors perform their work safely and without risk to themselves, others or the environment. This covers all operations where activities to be undertaken involve the utilisation of external Contractors.

The Trust acknowledges its statutory responsibilities for co-ordinating its activities with those of Contractors in their employment.

## 4 Duties

### 4.1 Duties Within the Organisation

#### 4.1.1 Chief Executive

The Chief Executive, as the Accountable Officer (Duty Holder), is responsible for ensuring arrangements are in place to discharge the Trust's legal and operational needs and responsibilities with regards to the management of Contractors.

#### 4.1.2 Director of Finance

The Director of Finance is responsible for ensuring compliance with the requirement of current legislation contained within this policy. The Director of Finance should take appropriate steps to ensure adequate resources and funding are identified to manage Contractors and to keep the Chief Executive apprised of major breaches of this policy.

The Director of Finance is accountable for the Fleet and Estates Department but specific accountability for the management of Fleet and Estates Contractors is delegated to the Assistant Director Fleet and Estates.

#### 4.1.3 Assistant Director Fleet & Estates

The Assistant Director Fleet & Estates has delegated responsibility for the overall operation of all Trust Estates and Fleet services, and the development, maintenance and implementation of the Trust's Estates Strategy.

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#### 4.1.4 Chief Technology Officer

The CTO is responsible for the management of IM&T Contractors carrying out installation and maintenance work on Trust premises. It is the responsibility of the CTO to ensure that all such staff and Contractors are made aware of and follow this policy prior to commencement of activities.

#### 4.1.5 Estate Manager (Capital Projects)

The Estate Manager (Capital Projects) is responsible for the development and maintenance of the Control of Contractors Policy and for the day to day operation of the policy and management plan where it relates to Contractors working for the Estates Team.

#### 4.1.6 Trust Staff employing Contractors

Trust Managers who have been delegated responsibility to appoint Contractors are responsible for ensuring that all requirements of this policy are effectively carried out when initiating any work using Contractors on behalf of their Department and for ensuring that:

- All Contractors that are carrying out work on behalf of the Trust have adequate resources to carry out the works within the agreed timescale and have sufficient administrative expertise/capacity to produce all documentation necessary for the Trust to fulfil its statutory and local obligations.
- This will require that all Contractors engaged by the Trust shall complete the Contractors Pre-Qualification Questionnaire (Appendix 1) before they are engaged to carry out any work. These completed questionnaires will be assessed (together with the Risk and Safety Team) to determine the competency of the Contractor to work on Trust premises.
- Maintain a Departmental list of those Contractors that have had their Health and Safety protocols and procedures pre-approved by the Risk and Safety Team. It is the duty of the manager responsible for this list to ensure that contractors have their Health & Safety information audited and re-approved periodically by the Risk and Safety Team
- All Contractors engaged to work on the Trusts behalf are aware of and have signed the “Contractors Induction and Site Safety Rules” (Appendix 2).
- The Contractor supplies all necessary documentation to comply with all relevant Legislation and local Policies prior to commencing work.
- Adequate supervision is provided to ensure the Contractor complies with agreed Method Statements, Risk Assessments etc. to ensure that the work is carried out in a safe and conscientious manner.
- All Trust employees that may be affected by the works are made aware of the possible risks before commencement.
- Contractors are aware of any known risks they are likely to encounter in the course of their work on healthcare premises and are also aware of any local rules of conduct to be applied to their work. This will include maintaining confidentiality of any information gained in the course of their work.
- Day to day assessment of work undertaken by Contractors is carried out to ensure compliance with Health & Safety legislation, Health Technical Memorandums (HTM’s) and Firecode criteria. Any breaches being referred to the authorised person.

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- Contractors work in conjunction with the estates department when isolation of services and/or facilities is required to minimise the impact to other services on site.
- “Permits to Work” are issued to Contractors during any phase of the work programme as required.
- Where any breaches in health, safety, security or unsafe practice are observed that Contractors operations are stopped until a resolution is agreed.
- No work is commenced / undertaken without the knowledge and agreement of the person in charge of the site or affected department.
- No changes are made to the agreed work plan without discussion with the person in charge of the site or affected department.
- Disruption to the activities of the site are minimised and all staff are aware of the work programme.
- Disruption to the Contractors agreed activities and work plan are minimised.
- Contractors carry out their work in a safe manner to minimise risk to staff and property.
- Where previously agreed staff are segregated from the Contractors work area. Where this is not possible, Contractors are adequately supervised having regard to the proximity of staff, the number of Contractors and the duration and type of work undertaken.
- Potential access to confidential information is minimised.

#### 4.1.7 **Contractors**

Contractors working on behalf of the Trust shall:

- Employ on site only such persons as are skilled, experienced and careful in the performance of their trades, professions and duties, and are competent to undertake the work assigned to them. Competence includes relevant up-to-date health, safety and security training.
- This will require that all Contractors engaged by the Trust shall complete the Contractors Pre-Qualification Questionnaire (Appendix 1) before they are engaged to carry out any work. These completed questionnaires will be assessed (together with the Risk and Safety Team) to determine the competency of the Contractor to work on Trust premises. When the Risk and Safety Team are happy that adequate competency has been shown they will be added to the Trust “Approved List of Contractors”
- Comply with the requirements stated in this document.
- Observe their obligations under statute and common law.
- Indemnify North West Ambulance Service against all liability arising out of any loss, damage or injury suffered by North West Ambulance Service or any third party as a result of their failure to comply with the terms of the contract or their performance of the contract.
- North West Ambulance Service reserves the right to cancel a contract with immediate effect and prevent the Contractors returning to the premises if they fail to comply with these requirements. No permission or consent by or on behalf of North West

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Ambulance Service under these requirements shall in any way relieve the Contractor of his liability for accidents, injury and damage under the terms of the contract.

#### 4.1.8 Risk and Safety Team

The Risk and Safety Team in conjunction with the Estates Manager (Capital Projects) has responsibility for advising managers and staff on this policy. All instances of breaches of the Policy must be reported via the incident report form, in line with the Incident Reporting and Investigation Policy.

The Risk and Safety Team, together with the Trust Department requiring the work to be carried out will assess the completed Contractors Pre -Qualification Questionnaire (Appendix 1) and advise as to the suitability of the Contractor to work on Trust premises.

Where a contractor is providing a service on an infrequent basis and the work is of a low-risk nature the extent of the PQQ assessment may be adjusted to take account of this. i.e. a tiered approach to the assessment of contractors according to risk.

The Risk and Safety Team will, in conjunction with the Trust Department wishing to engage a Contractor, re-evaluate Contractors periodically to ensure that any Contractors engaged by the Trust have the necessary competence to meet their obligations. The frequency of these audits will be determined by the nature of the work carried out by a contractor, the risks arising from that work, the frequency of their presence on NWAS sites etc. The interval between audits in any case should not exceed 3 years.

#### 4.1.9 Trust Employees

In accordance with the Health and Safety at Work Act 1974 all employees are required to:

- Take care of their own health, safety and security and that of others who may be affected by their acts or omissions at work.
- Co-operate with their employer on health, safety and security matters.
- Correctly use work items provided, including any personal protective equipment.
- Not interfere with or misuse anything provided for their health, safety, welfare or security.
- Report suspected hazards to their line manager and the Estates Department without delay.
- Complete a Trust incident report form for any incident or near miss involving Contractors' work.

#### 4.1.10 Supplies Department

The Supplies Team shall ensure that, during the tender process for all goods and services procured for the Trust, suppliers and Contractors are selected and vetted to ensure that they are fully conversant with current legislation.

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## 4.2 Management of Contractors

### 4.2.1 Visits to Trust Premises

All Contractors must wear a photographic identification badge at all times whilst on Trust premises. This badge to be provided by the Contractor

4.2.2 All Contractors must sign-in on the station occurrence book and request a Trust Visitor Badge if visiting Area Headquarters buildings. These badges to be made available at the Reception at each building.

At none Area HQ buildings contractors should sign-in on the station occurrence book and identify themselves to Trust staff where they are present.

### 4.2.3 Familiarisation

Prior to carrying out works or services on Trust premises, Contractors shall familiarise themselves with the induction and site safety rules (see Appendix 2). A signed copy of these rules will be held by the Contractor and a copy will be kept on file in the Department authorising the works.

### 4.2.4 Contractors on Site Safety Rules

The Contractors on Site Safety Rules (see Appendix 2) provide important health and safety information which must be strictly adhered to whilst carrying out works on Trust premises.

Contractors must confirm receipt of this information and their intent to comply by signing and returning a copy which is retained by the Department employing the Contractor. It is the responsibility of the Contractor to ensure that this information is disseminated to all their employees/sub-Contractors who visit the site. Prior to commencing any works on Trust premises a copy of the Contractors on Site Safety Rules will be issued as part of the signing in procedure.

### 4.2.5 Permit to Work

Permits to Work are designed to ensure that safe methods of working are adopted in circumstances where there is a potential hazard to those carrying out the work or to building users. Appropriate Permits to Work are to be obtained from the Trust Authorised Person prior to commencing work of this nature and must be signed off once the work has been completed. Once issued the conditions of the permit must be strictly adhered to at all times.

Work in the following area will require a permit:

- Fire Suppression System works where there is a possibility of suppressant discharge
- High Voltage Installations
- Working in Confined Spaces
- Excavation
- Demolition
- Removal of Asbestos (Licensed Contractor only)
- Hot Work (example attached in Appendix 3)

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- Generators/Uninterruptable Power Supply (UPS) works involving the potential to interrupt service
- Access to Roof Areas

#### 4.2.6 Documentation

Contractors may be requested to produce documentation to ensure compliance with statutory and regulatory requirements.

These may include:

- Employers Liability Insurance (min. £5 million)
- Public Liability Insurance (min. £10 million)
- Health and Safety Policy
- Method Statements / Risk Assessments
- Notification of any HSE prosecutions or improvement notices
- Qualification or industry body affiliation certificates
- Training Records
- First Aid provisions
- Material Safety Data Sheets (MSDS)
- Equipment List and PAT testing results

#### 4.2.7 Information to Trust employees

The authorised person engaging any Contractor is responsible for ensuring that, where appropriate, any affected Trust employees are made aware of any risks prior to commencement of works on site.

An information bulletin should be provided to all staff prior to commencement of works in the following instances

- any capital schemes
- any works that involves the use of chemicals (but not paint)
- any works that may involve the disturbance / removal of asbestos materials
- any works that may result in large quantities of dust

N.B this list is not exhaustive and the authorised person should consider each case individually and use their judgement as to the need to inform staff of the risks.

This bulletin should be posted on staff notice boards and e-mailed to affected staff. The bulletin should include contact details for staff in the event of any concerns about the work in progress.

#### 4.2.8 Risk Management

The authorised person engaging any Contractor is responsible for ensuring that risks associated with the works are adequately controlled. The measures needed to achieve this will depend on the nature and complexity of the work being carried out.

#### 4.2.9 Infection Control

All Contractors must maintain good standards of infection prevention/control practice whilst on Trust premises. This includes attention to hand hygiene when moving around the site. As this is

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a healthcare environment there is also a potential risk of an injury from 'sharps'. Any injuries should be reported immediately.

The Trust manager responsible for the area of work must be informed prior to works being carried out in case any further infection prevention/control precautions are required. The Contractor must respond to any instructions given to him by the infection control team.

#### 4.2.10 Fire Safety

Contractors must ensure that they are aware of the emergency evacuation procedure and assembly points, the location of the fire alarm activation systems and the location of any fire suppression systems.

No fires will be lit on Trust premises.

The Contractor shall inform the Authorised Person before using any equipment, materials or substances that may be likely to cause fire or dust. A 'Hot Work' Permit will be issued by the Authorised Person for all such work (24 hours notice is normally required)

Fire escapes must be kept clear at all times.

## 5 Monitoring

5.1 To ensure satisfactory implementation of all the safety requirements of the Contractor the NWAS employee supervising the work will undertake random job inspections to ensure the implementation and operation of the health, safety and security procedures. Should there be any apparent disregard of the required procedures or any circumstances which may give rise to an accident or fire, they shall inform the Contractor who must then either resolve the problem or cease work until directed to restart by the Trust employee.

A record should be made and retained detailing the date and findings of the spot-check. This would include details of the contractor, the nature of the work in progress, location, date, PPE, any concerns/breaches and signed by the relevant manager/officer. An example record form is attached at Appendix 4

Checks will be carried out by:

- Carrying out Health, safety and security audits and safety sampling as part of any contract. These may be carried out by the authorised person or by members of the Risk and Safety team.
- Random spot-checks on Contractors ID badges.
- Random spot-checks to ensure Contractors have signed log sheet.
- Checks to ensure new Contractors have received induction and copy of Safety Rules prior to starting work.
- Detailed investigation of any incidents relating to Contractors work.
- Checks are made that the Contractor is working within the limits of the policy.

The policy will be reviewed and updated every two years or sooner if regulations change.

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**Appendix 1: Health, Safety & Security - Contractors Pre-Qualification Questionnaire**

The provider has a statutory obligation to conduct his undertaking in compliance with United Kingdom legislation and must further ensure all works are carried out in accordance with the relevant codes of practice and guidance issued by the Health and Safety Executive, Environmental Protection Agency and other regulatory authorities. Note that it is a condition of contract that those statutory obligations are fulfilled

The provider is required to comply with all the Current Trust Policies in relation to their works in particular:

All relevant policies are available on request:

The provider will have to complete and provide assurances to the Trust in relating to their Health, Safety & Security management. The following is required to be submitted as part of the tender and qualification:

<b>Contractors Details</b>	
<b>Name of Company</b>	
<b>Address</b>	
<b>Company telephone No:</b>	
<b>Company's House Registration No:</b>	
<b>Registration address for the Company if different from the above address:</b>	
<b>I certify that to the best of my knowledge the details supplied in this evaluation are correct and accurate</b>	
<b>Signature:</b>	
<b>Name: (Block Capitals)</b>	
<b>Title:</b>	
<b>Tel No:</b>	
<b>Date:</b>	

**Please provide any further information that you feel supports this questionnaire.**

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Topic	Evidence	Comment	NWS Response
<p>1. Please provide a copy of your current Health and Safety Policy and organisational arrangements for Health, Safety &amp; Security</p>			
<p>2. Accountability for Health &amp; Safety, please give details of how you allocate responsibility for Health and Safety to individuals within your company</p>			
<p>3. Please supply details of your safety management system and provide details of the following:</p> <p><b>(a)</b> How you enforce health and safety compliance on site.</p> <p><b>(b)</b> How you will monitor health and safety compliance</p> <p><b>(c)</b> How you will ensure that:</p> <ul style="list-style-type: none"> <li>• Your employees are provided with suitable PPE</li> <li>• Your plant and equipment is suitably maintained tested and calibrated</li> <li>• Your COSHH arrangements are in place.</li> <li>• First aid arrangements are in</li> </ul>			

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place  <b>(d)</b> The action that will be taken when deficiencies are identified or are brought to your attention.			
<b>4.</b> Who provides your H&S Advice? (Name(s) Qualifications, CV's)			
<b>5.</b> Have you evolved any formal Health and Safety procedures, manuals, permit to work systems etc?  Please describe and if possible submit an example. This should include information such as the system for ensuring that plant, equipment, vehicles and substances provided are used, inspected and maintained to ensure Health, Safety and Security.			
<b>6.</b> Please provide copies of your Incident Statistics for the last three years. (inc no of RIDDORS)  What is your system for investigation and reporting incidents, occupational illness etc?			
<b>7.</b> Please provide example of Risk Assessments, relating to the working being undertaken			
<b>8.</b> Please provide example Method Statement, relating to the working being undertaken			

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<p><b>9.</b> How do you promote, communicate, receive and recorded Health and Safety matters within your Organisation?</p>			
<p><b>10.</b> What systems have you in place to monitor the health of your employees?</p>			
<p><b>11.</b> Has your company or any individual employed by your company been prosecuted for any breaches of Health &amp; Safety legislation within the last 5 years please also include details of any form of <b>Enforcement Action</b> by the Health and Safety Executive or Local Government Environmental Health Officers over the last five years</p>			
<p><b>12.</b> Please give details of Health and Safety training which has been given to the Management, Supervisors and Employees within the last three years</p>			
<p><b>13.</b> Outline the arrangements you will make to ensure compliance with the management of health and safety at work regulations 1999: provisions relating to young persons, lone workers and the requirement that an individual "Unique Risk Assessment" be produced <b>Before</b> the young person starts work</p>			
<p><b>14.</b> Has your company undertaken any work similar to the type of work being</p>			

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<p>issued.</p> <p>Details of any work carried out</p> <p>Please provided details of your staff training to undertake the chosen work</p>			
<p><b>15.</b> Please provide Information as to how your organisation currently undertakes post contract review of health and safety management.</p>			
<p><b>16.</b> Can you give details of how your organisation co-ordinates health and safety information/requirements with sub-Contractors.</p>			
<p><b>17.</b> How do you undertake competency assessments of you sub-Contractors prior to appointment?</p>			
<p><b>18.</b> How do you monitor the competence and effective resource of your sub-Contractors in health and safety matters?</p>			
<p><b>19.</b> What type of assurance could you give that the staff you authorise to work on our sites are trustworthy (DBS checking etc.) and do not have previous history that might effect our decision to allow them on our sites.</p>			
<p><b>20.</b> How will your staff be able to demonstrate that they are authorised by your company to work on our site on a daily basis.</p>			

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<b>21.</b> How will staff authorised to be on site be able to be clearly identified.			
<b>22.</b> What training do you give your staff in relation to general security and actions to take in the event of an emergency			
<b>13.</b> How will you monitor employee compliance with security requirements?			

**The North West Ambulance Service will continue to carry out safety audits and safety sampling as part of the contract.**

**NWAS use:**

**Document Reviewed by: - Name (Printed)**

**Signature:-**

**Position: -**

**Date:-**

**Acceptable / Not Acceptable (Delete as applicable)**

**If not acceptable, detail the nature of the corrective action/s that must be taken:-**

--

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## **Appendix 2: Contractors Induction and Site Safety Rules**

### **CONTRACTORS MUST OBSERVE THE FOLLOWING RULES AT ALL TIMES**

*For the purposes of this policy the term “Authorised Person” is the Trust employee who has requested the work be carried out.*

**General Introduction** - No works shall be started (except in the case of an emergency) until the Contractor has read the Trust’s Control of Contractors Policy and signed a copy of this document. All Contractors should report to the Department authorising the work that they are on site. They shall also obtain any necessary permits and agree a site safety regime with the authorised person before commencement.

The Contractor shall ensure that the contents of these rules are made known to everyone for whom they are responsible on site, including sub-Contractors under his/her instruction.

**FIRE PRECAUTIONS AND PROCEDURES** - The fire routine is clearly displayed in every building. The Contractor shall familiarise themselves with this and ensure they know what to do in the event of a fire and/or the sounding of the alarm.

No fires will be lit on Trust premises.

The Contractor shall inform the authorised person before using any equipment, materials or substances that could likely cause fire. A ‘Hot Work’ Permit will be issued by the Authorised Person for all such work (24 hours notice is normally required).

**FIRE ESCAPES MUST BE KEPT CLEAR AT ALL TIMES.**

**ASBESTOS** - At no time shall the Contractor attempt to interfere with any materials containing asbestos. The Trust maintains a register of all known locations of asbestos that exist on Trust premises (this is held by the Estates Department) and the authorised person will inform the Contractor as required. Any Contractor finding what he suspects could be an asbestos bearing material on any of the Trust’s premises should stop work immediately and bring it to the attention of the Authorised Person.

**PORTABLE TOOLS / EQUIPMENT** - All portable tools brought onto the site must be suitable for use on 110v AC supply. The Contractor shall also provide a 240/110v transformer for use with the portable tools. Alternatively, battery driven tools may be used.

Evidence that all portable tools have been P.A.T. tested will be required. All 240v AC tools are prohibited unless agreed with the Authorised Person and RCD protected.

The Trust accepts no responsibility for loss or damage to Contractor’s tools or equipment.

**EXCAVATION** - No excavation works or underground works are to be undertaken until the area has been scanned and a drawing and Permit to Excavate has been issued by the authorised person.

**PERMITS TO WORK** - Permits to Work are required from the Authorised Person before starting work involving any of the following:

- Fire Detection Systems
- High Voltage Installations

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Date of Approval:		Status:	Final
Date of Issue:	August 2012	Date of Review	August 2014

- Working in Confined Spaces
- Excavation
- Demolition
- Removal of Asbestos (Licensed Contractor only)
- Hot Work
- Generators/UPS systems
- Access to Roof Areas

Once issued the conditions of the permit must be strictly adhered to at all times.

**PATIENT PRIVACY & CONFIDENTIALITY** - The Contractor must act with the utmost discretion at all times. During contact with our organisation, you or your staff member may observe or hear confidential information about patients, members of staff or other health service business. On no account must any information relating to this organisation be divulged to anyone.

Under the Data Protection Act 1998 any breach of confidentiality is an offence and can lead to prosecution.

**CONDUCT** - Contractors must not behave in a manner which may cause offence to staff or members of the general public on any Trust premises.

The Trust reserves the right to remove any Contractor from site who behaves in such a manner.

**FLAMMABLE LIQUIDS/NOXIOUS SUBSTANCES, LPG, PRESSURISED CANISTERS ETC.** - Any hazardous materials brought on site should be only in limited amounts and removed at the end of each day. All such materials are to be used only in strict accordance with COSHH regulations. Pressurised cylinders must be removed from site at the end of the working day or stored in an approved locked compound.

**SITE FENCING/BARRIERS AND SIGNS** - The Contractor is to supply and erect safety fencing and/or barriers to isolate the work from others, along with the appropriate warning signs. (All as agreed with the Authorised Person as part of the safety regime).

**PERSONAL PROTECTIVE EQUIPMENT** - Personnel must wear the correct protective equipment of a type suitable for the work being carried out in accordance with the Personal Protective Equipment Regulations.

**RUBBISH REMOVAL** - The Contractor must remove any rubbish created during the course of the work on a daily basis. The work area must be cleaned to the satisfaction of the Trust's Authorised Person.

No skips are allowed without prior arrangement with the Authorised Person.

**LADDERS/ACCESS EQUIPMENT/SCAFFOLDING** - All access equipment shall be provided by the Contractor, must be in good condition and suitable for the purpose.

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Any ladders or platforms must be securely supported by a second person before being used. Ladders must not be left unsupervised under any circumstances. Such equipment must be removed at the end of the working day and cordoned off when in use.

**ACCIDENTS/INJURIES/FIRST AID** - Injury to persons or “near misses” must be reported to the Authorised Person, who reports these using the Trust incident reporting mechanism. Contractors must provide their own first aid facilities.

**ACCESS AND EGRESS ROUTES (INTERNAL AND EXTERNAL)** - It is the Contractor’s responsibility to ensure all access and egress routes, and pedestrian walkways, on Trust sites are kept unobstructed and clear of debris at all times unless alternative routes are arranged with the Authorised Person.

**RADIOS AND PERSONAL STEREOS** - Radios and personal stereos are not to be used on site unless by prior agreement of the authorised person.

**NOISE AND VIBRATION** - The Contractor shall take appropriate measures to limit the harmful effects of noise and vibration emanating from his site working and shall agree appropriate controls with the authorised person.

**SMOKING AND ALCOHOL** - The Trust operates a “No Smoking Policy” consequently smoking is not permitted at any time whilst on Trust premises.

The consumption of alcohol or substance misuse is NOT PERMITTED on any of the Trust’s premises.

The Trust reserves the right to remove any Contractor from site whom they suspect of being under the influence of drugs or alcohol.

**WORKSHOP FACILITIES/SITE CABINS** - Contractors will be expected to provide their own facilities for welding, cutting, drilling, bending etc.

The use of cabins and their siting must be agreed with the authorised person and the Estates Department

**MESS FACILITIES/TOILET FACILITIES** – Are available for use by Contractors however the requirements of Trust Staff are paramount, if complaints are received regarding the use of facilities by Contractor’s staff the amenity will be withdrawn with immediate effect and alternative provision will have to be made at the Contractor’s expense.

Overalls must not be worn in any dining areas and clothing must be clean and tidy.

**PARKING** - Contractors must park in designated areas only and observe any on-site speed limits.

**SECURITY** – Contractors should be aware of the Trust’s Security Policy and should carry out their work in such a way that the security of any Trust building or vehicle is not compromised. All entrance/exit doors should remain closed whilst on site. Any breaches of

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security (or potential breaches) should be reported to the Authorised Person or to the most senior member of Trust staff on duty.

**By signing this form you are agreeing that you will comply with Trust health and safety rules whilst on site. Failure to comply with any of these rules may result in exclusion from site.**

**Inductee** \_\_\_\_\_

***Sign & Print***

**Company name** \_\_\_\_\_

**CSCS Card no.** \_\_\_\_\_

**Trust Officer (Authorised Person)** \_\_\_\_\_

***Sign & Print***

**Date** \_\_\_\_\_

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## **Appendix 3: Hot Work Permit**

**For BLOWLAMPS, CUTTING & WELDING or other HEAT PRODUCING EQUIPMENT**

**IMPORTANT: Precautions on page two must be adhered to without fail**

### **SECTION 1 - TO BE COMPLETED BY ESTATES DEPT**

<b>Site</b>	
<b>Date Issued</b>	
<b>Company requesting permit</b>	
<b>Work involved</b>	
<b>Permit valid from (date / time)</b>	
<b>Permit valid to (date / time)</b>	
<b>Person issuing permit</b>	Chris Baker
<b>Job Title</b>	Estate Manager (Capital Projects)
<b>Contact Number</b>	07812 305204

The location where this work is to be done has been examined, necessary precautions (as per page 2) taken and permission has been granted for this work.

Signed.....

Risk assessment has been carried out & is attached      Yes    No

Method statement has been produced & is attached Yes    No

**NB: IF RISK ASSESSMENTS ARE NOT SUBMITTED PRIOR TO THE ISSUE OF THE PERMIT THEY MUST BE PRODUCED ON ARRIVAL ON SITE.**

**FAILURE TO PRODUCE ACCEPTABLE DOCUMENTS UPON REQUEST BY TRUST OFFICERS WILL RESULT IN PERMIT BEING WITHDRAWN.**

### **SECTION 2 - TO BE COMPLETED BY THE CONTRACTOR'S SITE SUPERVISOR**

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**FINAL CHECK-UP**

Work area and all adjacent areas to which sparks and heat might have spread (including floors above and below and on the other side of walls), were inspected 30 and 60 minutes after the work was completed and were found firesafe.

Signature: .....

Date: .....

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## PREVENT FIRES

Prior to approving any hot work the Site Supervisor or his/her appointee shall inspect the work area and confirm that precautions as listed below have been taken to prevent fire.

### Check each item carefully

<b>PRECAUTIONS</b>	
Sprinklers and other Fire Fighting Systems and Equipment in service where possible	Yes /No
Hot Work Equipment is in good condition	Yes / No
Gas containers/flammable liquid containers to be changed/filled in the open	Yes / No
<b>WITHIN 15 METRES OF WORK</b>	Yes / No
Floors swept clean of combustibles and wetted down or covered with non-combustible material where necessary	Yes / No
Combustible materials, hazardous or flammable liquids have been removed or are protected with non-combustible curtains or sheets	Yes / No
Non-combustible covers suspended beneath work to collect sparks	Yes / No
<b>WORK ON WALLS OR CEILINGS</b>	
Any combustible material has been protected against sparks or heat	Yes / No
Combustibles moved away from other side of walls and away from metal through which heat can be transferred	Yes / No
<b>WORK ON ENCLOSED EQUIPMENT</b> (Tanks, containers, ducts, dust collectors etc.)	
Equipment cleaned of all combustibles and dust	Yes / No
Containers purged of flammable liquids and vapours	Yes / No
<b>FIRE WATCH</b>	Yes / No
To be provided during and 30 minutes after operation	Yes / No
Supplied with extinguishers and/or hose reel	Yes / No
Trained in use of fire fighting equipment and in sounding the fire alarm	Yes / No
<b>FINAL CHECK UP</b>	
To be made 60 minutes after completion of any operation	Yes /No

Signed.....

Date.....

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## Appendix 4: Contractor site spot-check form



### SITE INSPECTION - CONTRACTORS

COMPLETED BY:

DATE OF AUDIT:

CONTRACTOR TRADE NAME:

IF SUB-CONTRACTOR APOINTED BY:

TYPE OF WORK BEING UNDERTAKEN:

LOCATION OF WORK:

NAME OF CONTRACTORS ON-SITE:

	Not started/ No evidence	Inadequate	Progressing/ Partially completed	Adequate	Good standard	Not applicable
Rating	1	2	3	4	5	N/A
No. found						

Audit Criteria	Questions	Compliance Evidence	Notes / Actions	Rating
<b>1.6b Management</b> <b>4.2.10a Fire</b>	Does the contractor have clear instructions / understanding regarding site fire safety procedures, accident /incident reporting requirements and first aid arrangements for the site?			
<b>1.7d Management</b>	Is the contractor aware of their risk assessment / method statement?			
<b>4.2.5 Permits</b>	Is a permit required for the work- has it been issued?	Permit required for Confined space, Roof, asbestos, high Voltage etc. see list		
<b>4.1.6m Management</b>	Who has the contractor informed on-site or in the department that they are present?			
<b>4.2.1 Management</b>	Is the Contractor wearing a photographic identification badge whilst on Trust premises?			
<b>4.2.2</b>	Has the Contractor			

CONTROL OF CONTRACTORS SAFETY AUDIT

M O'Malley 18/01/16

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<b>Management</b>	signed-in on the station occurrence book or requested a Trust Visitor Badge if visiting Area Headquarters buildings?			
<b>4.2.4 Management</b>	Is there a signed copy of the induction and site safety rules held by the Contractor?	Prior to any work starting the rules will be issued as part of the signing in procedure.		
<b>Appendix 2: Site safety</b>	Do tools / equipment being used by the contractor appear to be in good working order?			
<b>4.1.7</b>	Does the contractor have any relevant H&S training / qualifications?	MEWPs, FLTs etc.		
<b>4.2.2 Management Appendix 2: Site safety PPE</b>	Does the contractor appear to be working in a safe manner and in line with the RAMS.	e.g. correct PPE in use, work areas cordoned off, use of ladders		
<b>4.2.10b Fire</b>	Where the contractor is working on-site, have all fire exits been kept clear?			
<b>Appendix 2: Site safety PAT Testing</b>	Have electrical portable appliances been PAT tested.			
<b>Appendix 2: Site safety COSHH</b>	Has the contractor brought any hazardous materials onto site?	Has this been agreed with the NAWAS job supervisor? Are there adequate control measures in place?		
<b>Any other comments</b>				

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## **Appendix 5: Checklist for the review and approval of SPP Documents**

To be completed and attached to any document which guides practice when submitted to the appropriate Trust group for consideration and / or approval.

	<b>Title of document being reviewed:</b>	<b>Yes/ No/ Unsure</b>	<b>Comments</b>
<b>1.</b>	<b>Title</b>		
	Is the title clear and unambiguous?		
	Is it clear whether the document is a strategy, policy or procedure?		
<b>2.</b>	<b>Rationale</b>		
	Are reasons for development of the document stated?		
<b>3.</b>	<b>Development Process</b>		
	Is the method described in brief?		
	Are people involved in the development identified?		
	Do you feel a reasonable attempt has been made to ensure relevant expertise has been used?		
	Is there evidence of consultation with stakeholders and users?		
<b>4.</b>	<b>Content</b>		
	Is the objective of the document clear?		
	Is the target population clear and unambiguous?		
	Are the intended outcomes described?		
	Are the statements clear and unambiguous?		
<b>5.</b>	<b>Evidence Base</b>		
	Is the type of evidence to support the document identified explicitly?		
	Are key references cited?		
	Are the references cited in full?		
	Are supporting documents referenced?		
<b>6.</b>	<b>Approval</b>		
	Does the document identify which committee/group will approve it?		
	If appropriate have the Joint Partnership Council considered the document?		

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	<b>Title of document being reviewed:</b>	<b>Yes/ No/ Unsure</b>	<b>Comments</b>
<b>7.</b>	<b>Dissemination and Implementation</b>		
	Is there an outline/plan to identify how this will be done?		
	Does the plan include the necessary training/support to ensure compliance?		
<b>8.</b>	<b>Document Control</b>		
	Does the document identify where it will be held?		
	Have archiving arrangements for superseded documents been addressed?		
<b>9.</b>	<b>Process to Monitor Compliance and Effectiveness</b>		
	Are there measurable standards or KPIs to support the monitoring of compliance with and effectiveness of the document?		
	Is there a plan to review or audit compliance with the document?		
<b>10.</b>	<b>Review Date</b>		
	Is the review date and frequency of review identified?		
<b>11.</b>	<b>Equality Impact Assessment</b>		
	Is an equality impact assessment appended?		
	Has this EIA received consultation?		
<b>11.</b>	<b>Overall Responsibility for the Document</b>		
	Is it clear who will be responsible for co-ordinating the dissemination, implementation and review of the document?		

<b>Approval of Committee</b>			
Name of Committee:			
Name of Chair:		Date	
Signature			

<b>Approval of Executive Management Team</b>			
Name		Date	
Signature			

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## **Appendix 6: Plan for dissemination of SPP documents**

To be completed and attached to any SPP document when submitted to the appropriate Trust group for consideration and/or approval.

*Acknowledgement: University Hospitals of Leicester NHS Trust.*

<b>Title of document:</b>	Policy for the Control of Contractors		
<b>Date finalised:</b>		<b>Dissemination lead: Print name and contact details</b>	
<b>Previous document already being used?</b>	<del>Yes</del> / No (Please delete as appropriate)		
<b>If yes, in what format and where?</b>			
<b>Proposed action to retrieve out-of-date copies of the document:</b>			
<b>To be disseminated to:</b>	<b>How will it be disseminated, who will do it and when?</b>	<b>Paper or Electronic</b>	<b>Comments</b>
		Electronic	

### **Dissemination Record (to be used once document is approved)**

<b>Date put on register / library of procedural documents</b>		<b>Date due to be reviewed</b>	
---	--	--------------------------------	--

<b>Disseminated to: (either directly or via meetings, etc.)</b>	<b>Format (i.e. paper or electronic)</b>	<b>Date Disseminated</b>	<b>No. of Copies Sent</b>	<b>Contact Details / Comments</b>

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## **Appendix 7: Equality Impact Assessment Report**

### **Name of Policy, Service or Function**

Control of Contractors Policy – Fleet and Estates

### **Equality Impact Assessment carried out by** (include name and job title):

Chris Baker - Estates Manager (Capital Projects)

### **Date of Equality Impact Assessment**

25/4/18

### **Step 1: Description and Aims of Policy, Service or Function**

#### **Overall aims**

To define the responsibilities and accountability for the management of Contractors within Trust premises

#### **Key elements of policy, service, process**

The policy is written by the estates department to ensure that management systems are in place to prevent injury to staff, Contractors, patients and visitors due to unsafe working practices

#### **Who does the policy, service or function affect?**

All staff

Contractors

Members of the Public (Visitors)

#### **How do you intend to implement the policy or service change (if applicable)**

The policy requires approval by the EMT and Trust Board. It will be made available by intranet for all internal staff and disseminated to all Estates staff and Contractors for implementation within their given area. The policy will be reviewed and amended to take into account any future service developments.

### **Step 2: Data Gathering**

#### **Summary of data available and considered**

Also the policy has taken into account all building related legislation and regulations.

#### **Outcomes of data analysis**

<b>Equality Group</b>	<b>Evidence of Impact</b>
Gender	None
Race/Ethnicity	None
Disability	The policy is a written document and there may be an impact on those with visual impairments or those with conditions such as dyslexia.
Sexual Orientation	None
Religion or belief	None
Age	None
General (Human Rights)	None

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### Step 3: Consultation

Please note you may want to return to this section following Steps 4 & 5

#### Summary of consultation methods

Estates Managers

Health and safety Practitioners and Managers.

Assistant Director, Fleet and Estates

#### Outcomes of consultation

Equality Group	Evidence of Impact
Gender	None
Race/Ethnicity	None
Disability	The policy is a written document and there may be an impact on those with visual impairments or those with conditions such as dyslexia.
Sexual Orientation	None
Religion or belief	None
Age	None
General (Human Rights)	None

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