

CONTROLLING CONTRACTORS (Completely Rewritten)

1.0 Purpose

To ensure that the Health, Safety and Environmental risks associated with the employment of contractors are controlled through compliance with the Health and Safety at Work Act and its subordinate Legislation, in particular the Construction Design and Management Regulations 2007 and the Management of Health and Safety at Work Regulation 1999.

2.0 Scope

This policy applies to all contractors (Tier 1) and sub contractors (Tier 2) located/working on the Yeovil Site. The basic underlying principles shall also apply to all AWL managed off site activities.

3.0 Definitions

CDM:	Construction Design and Management Regulations 2007.
Client:	The organisation having construction or building work carried out.
Designer:	Specialists who have a trade or a business which involves them in preparing designs for construction work, including variations.
CDMC:	The CDM co-ordinator is the key project advisor in respect of construction health and safety risk management matters. Their main purpose is to help clients to carry out their duties; to co-ordinate health and safety aspects of the design work and to prepare the health and safety file. A CDMC must be appointed for notifiable projects.
Principal Contractor:	Is the main or managing contractor engaged to conduct the construction work and co-ordinates the management of health and safety throughout the project.
Contractor (Tier 1):	A company or individual engaged as the Principal Contractor to conduct construction work under CDM or otherwise engaged by AWL to provide a specialist service on behalf of the Business.
Sub Contractor (Tier 2):	A contractor appointed by AWL's Tier 1 contractor.
Notifiable Project:	A construction project that will last for 30 days or take 500 man hours to complete and is notified to the HSE using form F10. Further guidance is provided in L144.
Health & Safety File:	A file that contains the information needed to allow future construction work, including cleaning, maintenance, alterations, refurbishment and demolition to be carried out safely.
SSIP:	Safety Schemes in Procurement. A national umbrella organisation supported by the HSE that provides pre qualification details about contractors based on the requirements of CDM.
CSCS:	The Construction Skills Certification Scheme.
Task Controller:	An individual appointed by the company to manage and control the activities of contractors.
PTW:	Permit to Work.

4.0 References and Related Legislation

- HSE Notification Form F10
- The Health and Safety at Work Act 1974
- The Construction Design and Management (CDM) Regulations 2007
- L144 Managing Health and Safety in Construction, ACoP to CDM 2007
- The Management of Health and Safety at Work Regulation 1999
- CI.No.ISO.06.08 Contractor Management
- CI.No.ISO.17.01 Audits
- EPP5-001 Waste Management
- HSP1055 Health, Safety & Environment Training
- HSP1070 Fire & Emergency Evacuation Procedures
- HSP2000 Control of Substances Hazardous to Health (COSHH)
- HSP2003 Dangerous Substances & Explosive Atmospheres (DSEAR)
- HSP2004 Control of Airborne Contaminants using Local Exhaust Ventilation (LEV)
- HSP2005 Control of Legionella and Water Hygiene
- HSP2030 Noise at Work
- HSP2040 Control of Asbestos
- HSP2051 Permits to work
- HSP2052 Confined Spaces
- HSP2058 Lifting Operations and Lifting Equipment
- SI31 Roof Safety
- SI32 Safe Use of Mobile Elevating Work Platforms (MEWPs)
- SI33 Contractor Control Disciplinary Process
- SI45 Delivery of bulk chemicals
- SI47 The Maintenance and Testing of Local Exhaust Ventilation Systems
- SI52 Written Scheme of Examination and Maintenance for Cooling Towers and Scrubber Units
- SI53 H,S&E Change Management Assessment

5.0 Forms

WA1918	Conditions of Work on Site
WA3413	Contractor Risk Assessment
WA3589	Safety and Environment Questionnaire

All Forms can be downloaded from the Company Intranet through the COS link.

6.0 Procedures

6.1 Responsibilities

6.1.1 Departmental Management

Departmental Management shall:

- Ensure that before contractors are employed they have been approved by the HSE Department
- Ensure employees controlling contractors have received appropriate training in their duties and responsibilities in accordance with HSP1055 and are competent to oversee and manage the work being conducted
- Ensure that activities involving contractors are risk assessed. Low risk tasks shall be controlled in accordance with Appendix 1 of this document, significant risk in accordance with Appendix 2. The completion of WA3413 is not a substitute for a risk assessment from a contractor. It is an assessment of the principal risks that need to be considered and controlled by the contractor within the task assessment and any associated method statement that they provide
- Ensure requisitions and SAP notifications identify significant risk tasks
- Ensure that where a project is notifiable under CDM the F10 is sent to the Health & Safety Executive, a CDMC and Principal Contractor are appointed and that a Health &

- Safety file is produced and maintained
- Ensure all aspects of the contractor's performance, including Health, Safety and Environment are monitored and reviewed in accordance with CI.No.ISO.06.08
- Significant shortcomings shall be dealt with in accordance with the disciplinary procedure contained in SI33
- Ensure that where contractors are undertaking tasks in their department, but not under their direct control, a pre-job discussion has taken place, a WA3413 has been raised for higher risk activities and the contents of the contractor's task specific risk assessment and method statement are understood
- Ensure that for higher risk activities WA3413 is signed prior to work commencing and on satisfactory completion of the task

6.1.2 Health, Safety and Environment (HSE) Department

The HSE Department shall:

- In conjunction with Procurement (Direct and In Direct) and Site Facilities, develop and maintain a list of approved contractors by completing the pre-qualification Health, Safety and Environmental assessment of all contractors using the SSIP system or questionnaires and interviews as deemed appropriate
- Where authorised by the Health, Safety and Environment Manager (HSEM), delegate approval of sub contractors to Tier 1 and Principal Contractors, undertaking appropriate monitoring to ensure minimum standards are maintained
- Ensure that all contractors and sub contractors have signed and returned WA1918 prior to commencing any work on site
- Carry out periodic audits of the system including spot checks on contractors activities in accordance with CI.No.ISO.17.01
- Carry out contractor induction training to supplement nationally approved training schemes and support Task Controllers, eg. Project Engineers in the delivery of such training
- In conjunction with Site Facilities, appoint Principal Contractors and CDMCs and maintain lists of all appointments
- Control the contractor HSE disciplinary system in accordance with SI33
- Provide Health, Safety and Environmental advice to project engineers and contractors in respect of risk assessment and suitability of control measures
- Via the Senior HSE Advisor (Site Facilities), maintain a list of approved trainers for delivering Site Induction training, ensure the training package is revised annually and periodically review the delivery of induction training of Contractors

6.1.3 Contractors

All Contractors shall:

- Ensure that they have signed and returned WA1918 to the HSE Department before commencing work (WA1918 shall be sent to the contractor by Direct or Indirect Procurement, or in the case of sub contractors by the relevant Tier 1/Principal contractor)
- Ensure that all sub-contractors under their control receive, complete and return WA1918 and WA3589 to the HSE Department before commencing work
- Where authorised by the AWL HSEM, undertake pre qualification Health, Safety and Environmental assessment of sub contractors using the SSIP system or a process approved by AWL.
- Ensure all employees and sub-contractors employees have completed an AWL Site induction and hold a nationally approved training scheme qualification such as CSCS or an AWL agreed equivalent.
- Ensure that all employees and sub contractors carry any CSCS card (or equivalent), licence, risk assessment and method statement with them when conducting work for AWL.
- Ensure that their employees and sub-contractors work in a safe manner at all times in accordance with WA1918 the agreed risk assessment control measures and relevant method statements.
- Ensure that they engage only AWL approved sub-contractors for work for or on behalf of AWL.

- Utilise WA3413 in accordance with Appendices 1 and 2.
- Ensure they liaise with local management prior to commencing work and that where necessary the WA3413 is signed by all parties.
- Identify to local management situations where AWL staff are not adhering to agreed control measures

6.1.4 Site Facilities Department

The Site Facilities Department shall:

- Support the HSE and Procurement Departments in the development and maintenance of a list of approved contractors
- Ensure that only contractors on the approved list are engaged to conduct any work under their control
- In conjunction with the HSE Department appoint Principal Contractors and CDMCs and keep lists of appointments
- Inform the Security Department of contractors on the approved list that require a security pass to be issued
- Ensure that the second stage qualification process for all contractors under their control is completed and records maintained in accordance with paragraph 7
- Ensure that the AWL 16 point CDM procedure as detailed in Appendix 3 is followed for all L144 defined projects and that where required by legislation all notification and appointments are made in a timely manner and documentation required is maintained and available for inspection by the HSE Department
- Ensure, in conjunction with Procurement, that orders for notifiable CDM projects clearly identify the appointment of the Principal Contractor or for AWL appointed sub-contractors the name of the Principal Contractor and their responsibilities for Health and Safety.
- Identify significant risk tasks on requisitions and SAP notifications
- Issue Permits to Work (PTW) required in accordance with HSP2051 where authorised.
- Ensure poor contractor HSE performance is recorded in the contractor discipline log book in accordance with SI33

Note: The Site Facilities Maintenance Department manages the activities of its own personnel through a process based on WA3413 and Appendices 1 and 2.

6.1.5 Procurement

Direct and Indirect Procurement shall:

- Support the HSE Department and Site Facilities in the development and maintenance of a list of approved contractors.
- Ensure that contractors are provided with WA1918 and WA3589 as part of the procurement process.
- Ensure orders placed for CDM notifiable projects identify the appointment of the Principal Contractor or for AWL appointed sub-contractors identify the name of the Principal Contractor and their responsibilities for health and safety.
- Identify tasks as high risk where appropriate.
- Ensure that only contractors on the approved list are engaged to conduct work

6.1.6 Security Department

The Security Department shall:

- Ensure that security passes are only issued to contractors and sub contractors on the approved list.

6.2 Process

6.2.1 Pre Qualification of Contractors

- Prior to being engaged to work on any AWL site all contractors shall be subject to a Health, Safety and Environment pre approval process. This shall consist of:

- Certification through the SSIP system and/or
- The completion of questionnaires (WA3589) and interviews to establish competence
- Once competence has been established the contractors shall sign and return WA1918.

6.2.2 Contractor Induction

- All contractors engaged to work within the AWL site shall complete a recorded site induction package that is delivered by approved personnel.
- Contractors engaged in work at offsite facilities shall complete an induction package based on the AWL procedure and the host's arrangements.

6.2.3 Stage 2 Qualification of Contractors

- Prior to starting any project or other work on site all contractors shall liaise with the employing department and host department completing WA3413 for higher risk activities (Appendix 1 and 2).
- The contractor shall visit the area of works to confirm the project requirements and any commissioning standard to be achieved.
- The contractor shall produce specific risk assessments and method statements commensurate to the task being undertaken. These documents shall be reviewed and approved by the Task Controller and host department prior to work commencing.
- Where required PTWs are raised in conjunction with the AWL responsible person as detailed within HSP2051.
- The contractor shall provide evidence that their employees or those of any sub contractors engaged by them are competent to complete the task.

6.2.4 Contractor Review

- The Contractor review process is detailed CI.No.ISO.06.08

6.2.5 Contractor Discipline

- The discipline procedure for contractors is detailed in SI33.

6.2.6 The AWL CDM process

- AWL operates a 16 point CDM process, as detailed in Appendix 3 and defined in L144.

6.3 Training

6.3.1 Induction Training.

- All Contractors shall complete an AWL Site induction. This training shall be arranged through their site contact, Project Engineer or the HSE Department. Where possible a minimum of 48 hours notice of the requirement should be given.
- Induction training shall be delivered by a trainer on the approved list held by the Senior HSE Advisor (Site Facilities).

6.3.2 Task Controllers/CDM Co-ordinators

- Personnel controlling contractors shall have basic contractor control awareness and risk assessment training.
- Personnel controlling CDM projects shall have completed CDM training.
- Personnel acting as CDMC shall have a NEBOSH General or Construction Certificate as a minimum qualification. Where this qualification is not held the individual can work under the direction of the Senior HSE Advisor (Site Facilities) or another AWL approved CDMC.

6.3.3 Contractor External Safety Qualification

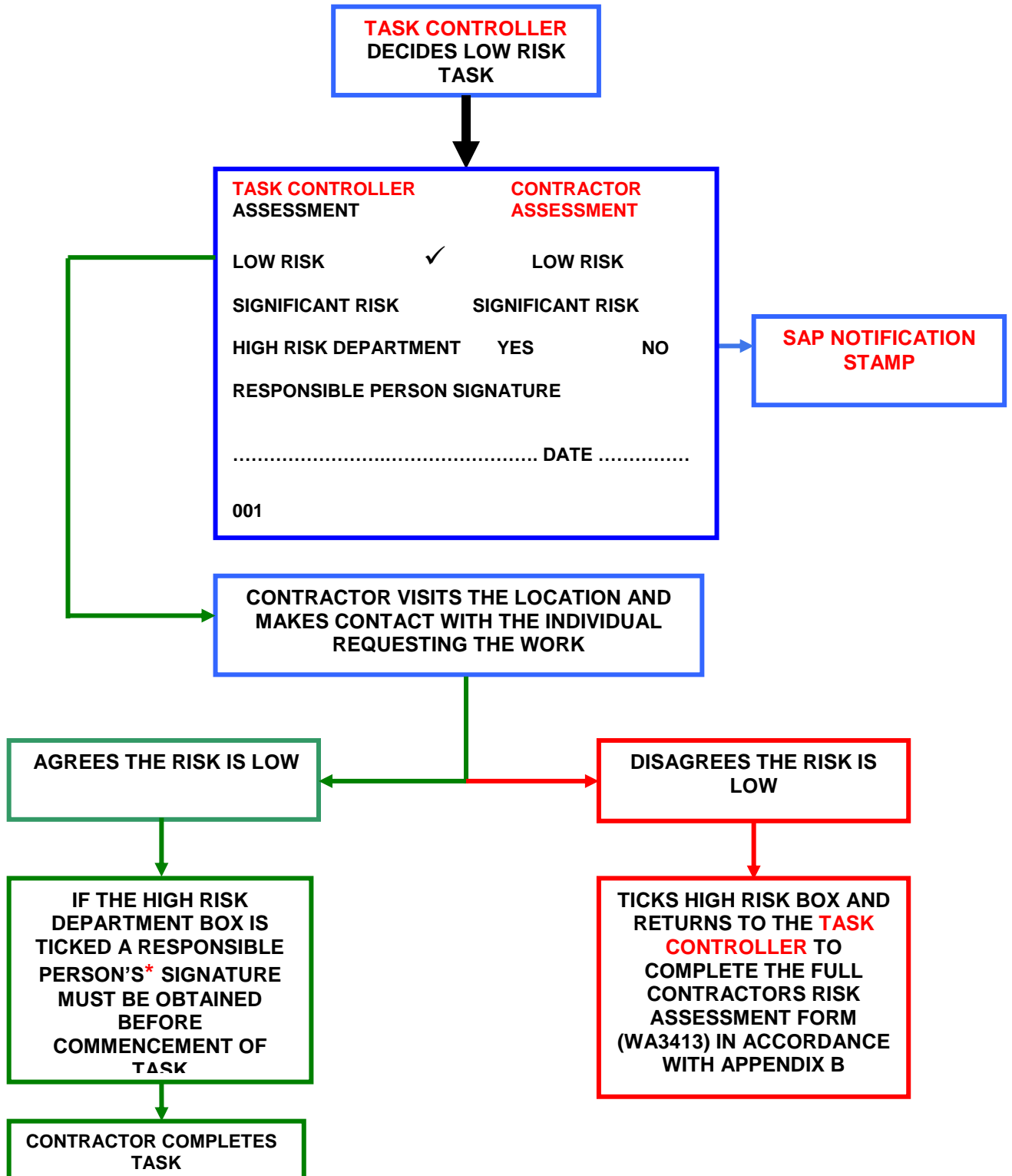
- All contractors shall obtain a nationally approved health and safety training certificate such as that provided by CSCS. New employees shall be permitted a maximum period of 6 weeks on site prior to achieving the required qualification. During this period they shall work under a suitably qualified person. Alternative qualifications may be approved by the HSE Department where CSCS is not appropriate to the role/task.
- Evidence of satisfactory completion of such courses shall be provided to the Site Facilities Senior H&S Advisor as part of the approval process and before approved Contractor passes are issued by the AWL Security Department.
- The employees of infrequently used contractors shall be invited to participate in the same type of nationally approved schemes but alternatively, may be controlled by the Project Engineer, Maintenance Supervisor or AWL task owner through induction and the contractor risk assessment procedure.

7.0 Records

Record Type	Dept Responsible	Retention Period
Personnel Training Record	AW SAP System	In accordance with CI.No.ISO.16.01
Approved Contractors List	HSE Department/Site Facilities	For the life of the contract + 3 years
Site Induction records	HSE Department/Site Facilities	For the life of the contract + 3 years
CDM Health & Safety Files	HSE Department/Site Facilities	For the life of the contract + 3 years
WA1918	HSE Department/Site Facilities	For the life of the contract + 3 years
WA3413	HSE Department/Site Facilities	3 months post completion of work
Risk Assessments and method statements	HSE Department/Site Facilities	In accordance with CI.No.HSE.01.02
Permits to Work	HSE Department/Site Facilities	For 3 months post completion of work
Discipline reports	HSE Department/Site Facilities	In accordance with SI33
Audit Reports	HSE Department/Site Facilities	In accordance with CI.No.ISO.17.01

Appendix 1

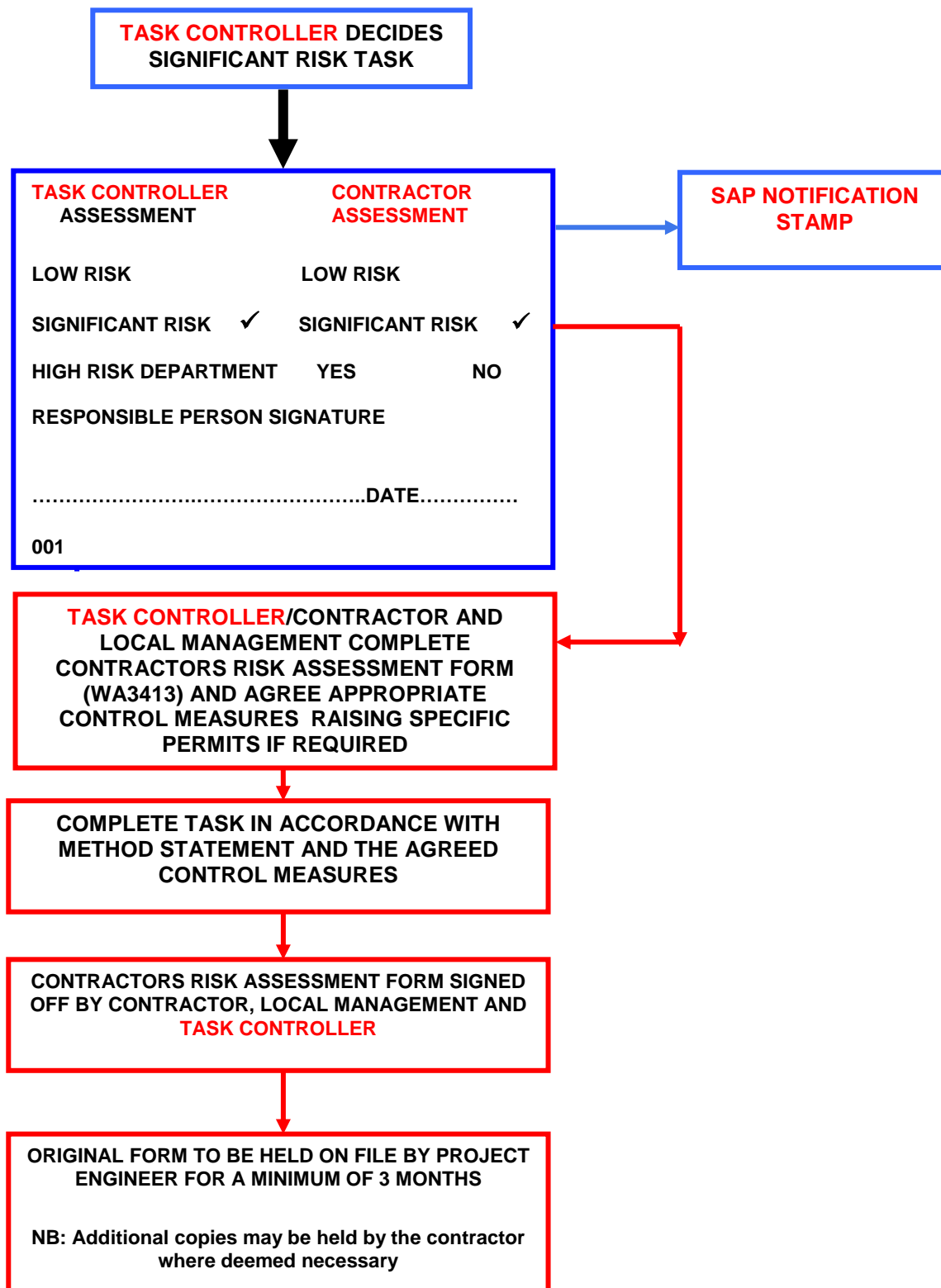
LOW RISK TASKS



* Responsible person is normally the manager or supervisor of the area where the work is being carries out

Appendix 2

SIGNIFICANT RISK TASKS



Appendix 3 – CDM PROJECT MANAGEMENT PROCESS – Please use on all CDM Projects



WHO	1	2	3	4	6	7	8	9	10	11	12	13	14	15	16	
A	PROJECT ENGINEER	CONTRACTOR SUPPLIER	PROJECT ENGINEER	PROJECT ENGINEER	PROJECT ENGINEER	CDM CO-ORDINATOR	CDM CO-ORDINATOR	CDM CO-ORDINATOR	CLIENT REP/S&E	CDM CO-ORDINATOR	CDM CO-ORDINATOR	PROJECT ENGINEER	CDM CO-ORDINATOR	CDM CO-ORDINATOR	CDM CO-ORDINATOR	
WHAT	CONSIDER	CONSIDER	REVIEW	PREPARE & ASSESS	APPOINT	CO-ORDINATE & CONTROL	ARRANGE	ARRANGE	AUDIT PROCESS	COMMISSION PROCESS	RISK ASSESS PRIOR TO HANDOVER	NOTIFY MNT OF PROCESS	ARRANGE TRAINING	FORMAL HANDOVER	HANDOVER OF SAFETY FILE	
	Planning Maintenance Disposals	Who will design	Review Draft Construction Phase Safety Plan	Assess the process using the Project Management Process Check Sheet	Select & Formally appoint the Principal Contractor	Check Design & CDM Duty Holders Competence	Start-up meeting with all parties, to include: Project engineer, Maintenance Disposals, Client Rep, Safety Rep, Sub	Induct/brief site supervisor & Issue Safety File	Validate the process using the Audit Proforma Collect data for logging	REQUIRED CERTIFICATES & DOCUMENTATIONS ARE SUMMARISED IN SECTION 33 OF THE CDM SAFETY FILE	Seek Assistance from: S&E Dept, MNT, Fire Advisor, Waste Mgt Contractor, Specialist Cleaning Contractor, WCS & OCS, Alarms connected	Handover Operating Manual as supplied by Supplier,	Process operators	HANDOVER DOCUMENTATION LOCATED IN SECTION 34 OF THE CDM SAFETY FILE	HANDOVER DOCUMENTATION IN BOTH HARD & SOFT COPY FORMAT TO SAFETY ADVISOR	
	Building Regs	Asbestos Type 2 Survey			Supply Security with contractor details for Security clearance	Review the Safety Plan Use Safety Plan Check List Send a copy of the Safety Plan to Safety Advisor for review	Contractors, S&E Dept, Waste Mgt Cont, WCS, OCS Issue Waste Management Plan Agenda Items - Asbestos Plan, Isolation of Fire Protection System, Commissioning, Training & Handover of the project Notify the Moves Coordinator	Weekly/Regular meetings with all parties to review progress	Visit site at regular intervals		Notify the Moves Coordinator	Supply details of maintenance arrangements	WCS personnel who will need to carry out sampling/monitoring and reading of the process equipment			
	Env Requirement. PPC, PG6/40/4 ECA Allowance, Lighting Insulation Water Waste Plan, BMS, Paints, LEV to SI 48 Roof Mansafe Air	Env Requirement. PPC, PG6/40/4 ECA Allowance, Lighting Insulation Water Waste Plan, BMS, Paints,	Discuss project plan with & Collect Signatures of key personnel on check sheet To be reviewed & signed by SEM		If not acting as CDM Coordinator, Formally Appoint one in writing on PO		Maintain / Produce minutes of meetings	Check progress and risk control			Notify the Building Risk Assessment Manager (M Pearce) Mansafe system	Supply details of Process to Specialist Cleaning Contractor. To include where appropriate Bath make up and Isolation points PAT Test Pressure system equipment register DSEAR Inspection Plant register No	Maintenance personnel			
	Who will design	Visit Site to Risk assess	Prep & Submit Progetto for Approval		Submit planning application and Inform Local Authority	Hold Pre Meeting with relevant specialists and advisors to review plan, ie Principal Contractor, Designer, Asbestos, LEV, Noise, Legionella,	Visit site at regular intervals	Check control of FOD					Veolia personnel who may have to carry out industrial cleaning & manage waste from the process			
	Complete 2055 Proforma, HAZOP	Prep (DRAFT) Construction Phase Safety Plan & Return to the Project Engineer	Discuss plan with Fire Advisor (Consider Type of Shelvings to be used in stores)		Ensure that the contractor complete Construction Phase Safety Plan	Fire, Waste management & Disposal	Arrange electrical inspection and Isolation, Arrange Isolation of alarm systems prior to work commencing.	Check Waste Mgt & Recycling			Notify Fire Officer that the Fire Alarm Zone Map have been updated		Process Supervisors & support workers			Collect handover data for logging
	Asbestos Type 2 (Demolition) Survey & Vac Cleaning Enclosure	Supply Personnel details for security clearance	Consult company Insurers (If Appropriate)			Carry out duties of CDMC						Supply MNT with critical spares list				Collect accident data for logging
	Prep Pre Construction Info Pack (Include Local Rules)	Return completed WA1918 & WA3589	Send completed WA1918 & WA3589 to Safety department for vetting			If Notifiable CDM Send F10 to HSE		Use Site visit forms to record situation at time of visit				Develop/ Agree Process Daily/Weekly Check sheets for both MNT & Process operators	REQUIREMENTS ARE SUMMARISED IN SECTION 33 OF THE CDM SAFETY FILE			Lessons learned passed on for future projects at project reviews Update Pre-Construction Information to reflect lessons learned.
	Select suppliers to approach															
	Send WA1918 & WA3589															

All CDM projects must be managed to the standards outlined in this process, not just the Notifiable ones.

Remember that the differences between a standard CDM and a Notifiable CDM project is that the Notifiable CDM will last for 30 or more days or will involve the use of 500 or more man hours.

For Notifiable CDM projects the HSE must be notified and a CDMC and Principal Contractor formally appointed.

Ensure that all relevant personnel are invited to the start-up meeting and record attendance.

Project Engineers must issue the draft waste management plan by the first start-up meeting.

Ensure that isolation permits are issued prior to work commencing and that alarm systems are isolated as required.

Commissioning and Handover are key elements of the project and must not be overlooked.

Principal Contractor to ensure that sub-contractors method statements and risk assessments are to the required standards prior to work commencing.

Principal Contractor / Site Manager to control FOD and waste recycling on a daily basis.

Principal Contractor / Site Manager to control CSCS Card system on all CDM Projects on a daily basis.

Your views & ideas on how to improve this standardised process is important to us. Please send your ideas to Abby (Ext 5217)

