

Contractor Health and Safety Competency Framework

Version V1.3

Policy Summary

This policy outlines how Midland Heart meets its obligations in engaging, monitoring and ensuring the health and safety competencies of its contractors.

The Health and Safety at Work etc. Act 1974 and regulations made under it place a legal duty on Midland Heart to ensure the health, safety and wellbeing of those effected by its undertaking – including contractors.

When contractors undertake work on our behalf, we expect the same high standards demanded by our employees.

Application

This policy applies to all contractors with whom Midland Heart engages.

For the purpose of this policy, a contractor is anyone undertaking work on the behalf of Midland Heart who is not an employee.

Assessing Competency

Competency is the combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform a task safely. This makes assessing competency of a contractor less straightforward than requiring membership of a certain qualification, however, this does form an important part of assessing competency.

When we assess the competency of our contractors it is recommended we seek membership of a recognised trade body, examples of these are outlines in [Appendix 1](#). In some cases there may be other, equally appropriate accreditations, however these must only be accepted with consultation with the H&S team.

NB : some registrations/accreditations are mandatory, for example engineers working on gas appliances MUST be Gas Safe Registered.

Process

Procurement

The health and safety competency of our contractors will be assessed prior to any engagement with them. Those contracts which provide a safety critical service (services where the health and safety of customers and colleagues could be impacted, or who provide building safety critical works) will be procured with the express involvement of the health and safety team. This is any works contract as detailed in [Appendix 1](#).

The procurement plan will be shared with the H&S team on an annual basis so the safety critical contracts (as shown in [Appendix 1](#)) can be jointly assessed by the contractor manager and Health and Safety Team.

Where the value of the contract negates the need to engage directly with the procurement team, the contract manager must engage directly with the H&S team to ensure the H&S competencies of contractors have been properly addressed.

Pre-qualification stage

Prior to the formal procurement process there will be a pass/fail minimum safety standard which contractors must meet.

Generally, this will include, but is not limited to:

- Membership of recognised trade bodies
- Membership of a current Safety Scheme in Procurement (SSIP)
- Provision of a signed and up to date H&S policy
- Details of any enforcement action or prosecutions
- Accident data
- Demonstrable knowledge of CDM

The Health and Safety Team will set the minimum standard for each contract dependent on risk. The level of detail will be proportionate to the risk of the works the contractor will be undertaking.

Qualifying bids

Those applicants who pass the pre-qualification stage will then be marked by the contract manager and H&S team against pre-established criteria which will generally include:

- Analysis of Risk Assessment and Method Statements (RAMS) for similar works
- Individual training and competency matrix
- Explanations on how specific risks are managed (for example 'Explain how you ensure that any breaches of fire compartments are managed, and what assurances can you give to support this?')

These will be marked using a 0-to-4-point criteria with those scoring 0 not progressing.

Contract Awarding and Ongoing contract management.

During the contract awarding process any improvements highlighted in the qualifying bid process will be managed by agreement with the contractor and in co-operation with the H&S team.

Ongoing requirements will also be set to manage the contract going forwards. These are likely to include, but are not exclusive to:

- Maintenance of membership of trade organisations andSSIP's
- Arrangements for communication and co-operation of accidents, near misses and safety critical matters which arise during the contract period.

These requirements will be built into the contract so, if not maintained, the contract can be terminated. A revised Contractor Code of Conduct will be attached to all contracts.

During contract management meetings the H&S topics covered should include:

Discussion Topic	Detail
Accidents and Near misses	The contract manager will be expected to monitor and action accidents as and when they happen, however routine management meetings should address lessons learnt and track actions. Near misses should be discussed and monitored for trends and lessons learned.

	There should be a review to ensure that those incidents that have occurred have been communicated at the time and referred to the H&S team where necessary.
RAMS	The contract manager should review jobs completed and ensure that all works undertaken have been undertaken with appropriate RAMS and the controls within them are being monitored by the contractor.
Contractor auditing	The results of the contractors internal auditing or supervisory checks should be shared with the contract manager to ensure completion and actions taken.
Training plans	The contract manager should seek assurance that new employee's competency is being checked.
Documentation	The contractor's key documentation, such as insurance, certification of SSIP's, H&S policies and procedures, are being maintained.
Matters arising	Any H&S issues or upcoming concerns should be discussed and recorded.

NOTE : The purpose of the ongoing contract management meetings relating to H&S is NOT to manage the safety arrangements for the contractor, but to gain assurance that the contractor has their safety management under control. The frequency of contract management meetings, and the amount of detail requested should be proportionate on the risk profile, and the confidence of management of the contractor.

Construction, Design and Management Regulations 2015 (CDM 2015)

All contract managers should refer to the CDM Regulations prior to undertaking any works to ensure all duties imposed upon us are adhered to. The Regulations can be found at: [The Construction \(Design and Management\) Regulations 2015](#)

During procurement, it is our responsibility to ensure contractors and designers procured for construction work, have a understanding of CDM Regs 2015 and which role they will undertake for the planned project. It is critical this is established prior to any contract award and any works commencing.

For us the critical duties are detailed under Regulation 4 'Client Duties in relation to Managing Projects'.

Summary of our requirement are (but not limited to):

- to ensure all work undertaken, is as far as reasonably practicable, done without risks to the health or safety of any persons affected by our project,

- to provide suitable welfare arrangements as detailed in schedule 2 of the CDM Regs 2015 and these are maintained during the lifecycle of the project,
- provide the relevant preconstruction information to designers and contractors appointed,
- to ensure a construction phase plan is drawn up by the contractor or principal contractor where there is more than one involved.
- preparation of a health and safety file by the principal designer and is kept up to date,
- ensure that both the principal designer/designers and contractor/principal contractors comply with all their duties under the regulations.

For large projects further information must be provided to ensure the contractor/principle contractor has all relevant information for the effective planning and development of the construction phase plan.

Information that may be relevant includes (but not limited to):

- Health and Safety Policy and overview
- Names and contact details of those involved and relevant third parties
- Emergency response plans for current buildings
- Existing drawings and plans and surveys such as structural surveys
- Locations of services (gas and power)
- Asbestos Surveys
- Building Specific Risk Assessments
- Fire Risk Assessments
- Tenant profiling where relevant
- Fire Strategies
- Other known hazards

The above is not a limited list and contract managers must seek further assistance from the health and safety team if further clarity is required on adherence to the CDM regulations.

Liaison with the H&S Team

The day-to-day management of contracts is the responsibility of the contract manager. However, there are certain events where you must liaise directly with the H&S team.

Accidents and near misses should be submitted to the H&S team via our accident reporting portal as soon as practicable. Where any serious ongoing hazards are caused by contractor behaviour – for example fires, collapsing scaffold or structures, or where a

place of work is left in an unsafe condition by contractors, the H&S team must also be notified.

RIDDOR

Generally, if a RIDDOR reportable event occurs out of connection with a contractors work it is the responsibility of the contractor to report it to the HSE. When such an event occurs the contract manager must inform the H&S Team as soon as possible and share details of the incident. On occasion the H&S team may need to communicate with the contractor directly, or attend contract management meetings. This is to ensure that all risks are being managed correctly and that the RIDDOR report fairly represents the risk management processes we have put in place.

On occasion a contractor may be unwilling to submit a RIDDOR report, if the contractor fails to co-operate and abide by the provisions of health and safety law then this will be dealt with in line with our contract management process, ultimately this may result in the contract being terminated.

Roles and Responsibilities

Contract Managers

Contract Managers are responsible for ensuring that Midland Heart holds, as far as is reasonable, evidence of the competency of the contractors they manage.

Building Safety Manager Entity Group

To oversee all works undertaken on our higher-risk buildings that fall under the Building Safety Act 2022.

Health and Safety Team

The Health and Safety Team is responsible for assisting in the sign off of contractor's competency, and providing advice and support to contract managers.

Policy Document Control

Business Owner/Role: Head of Safety and Facilities

Author/Role: Head of Safety and Facilities and Health and Safety Manager

Directorate: Corporate Resources

Version Number: *When a document has undergone major changes requiring approval, the version number must change – e.g. from V1.0 to V2.0. When a document has undergone minor changes, not requiring approval, only the number after the decimal point must change – e.g. from V1.1 to V1.2. When a document is reviewed but no changes are made, the number after the decimal point must still change.*

Approved By/Date Approved: Head of Safety and Facilities - Sep 2022

Next Review Date: April 2027 (every 2 years or following regulatory change)

Document Version Control

Version	Date	Business Owner	Review/Health Check	Change Description
V1.0	09/2022	Head of Safety/FM	Write	
V1.1	17/04/2024	Head of Safety/FM	Review	Updated Business Owner
V1.2	17/04/2025	Head of Safety/FM	Review	Updated to include CDM requirements and roles and responsibilities of the BS Manager Entity Group
V1.3	27/04/2026	Head of Safety/FM	Review	General Review