

Standard Operating Procedures

Non-Minor works and Capital Delivery

Written by:	Head of H&S and Fire Safety
Approved by:	H&S committee
Approved by Medicines Safety Committee: <i>Where medicines included in guideline</i>	N/A
Date of Approval:	10/07/2025
Date of Review: This is the most current document and is to be used until a revised version is available	

Aim and scope of Standard Operating Procedure

The aim of this document is to provide further detail to Responsible Managers and contractors working at Worcester Acute Hospital Trust.

The scope of this SOP relates to all activities completed by with the use of multiple contractors (including sub-contractor arrangements) and/or the delivery of projects via the Capital teams.

For any activities which require the use of a singular contractor use Management of Contractor Activities SOP.

Target Staff Categories

Responsible Managers as identified within the Control of Contractors Policy.

Key amendments to this Standard Operating Procedure

Date	Amendment	Author
25/06/2025	New SOP; Due to this the document will require a review in 12 months to ensure the process included are suitable and sufficient	Julie Noble

1. Introduction

This SOP supports the Control of Contractors Policy and aims to provide further detail to Responsible Managers and contractors working at Worcester Acute Hospital Trust. The scope of this SOP relates to all activities completed by with the use of multiple contractors (including sub-contractor arrangements) and/or the delivery of projects via the Capital teams.

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2. Definitions

2.1 Responsible Manager

Any person within the Trust who engages and/or instructs contractors to complete work of any type.

The Trust has a duty of care to all of those who use and work at the site including any persons other than their employees. The Responsible Manager is the Trust's interface with third parties coming onto their sites to complete work. They have a direct responsibility to ensure that works are managed and completed in a safe manner, relevant information is shared and clearly communicated, and that the requirements stipulated within the Trust's policies and procedures are met. (See Managing contractor activities SOP for further detail)

2.2 Contractor

"Any person, firm, company or other legal entity entering into a contract with the Trust for the performance of services and or the supply of goods" and "any person, firm, company or other legal entity otherwise performing services and or supplying goods to or for the benefit of the Trust". Examples include-

- Company representatives;
- Staff from other Trusts;
- Consultants;
- External auditors and
- Construction or maintenance workers.

2.3 Contractor Risk Management

The person within or on behalf of the Trust engaging any contractor is responsible for ensuring that risks associated with the works are adequately controlled in line with the mitigations. The measures needed to achieve this will depend on the nature and complexity of the work being done.

2.4 Competent person

A Competent Person is a person with relevant knowledge, skills, qualifications, experience and/or membership of a relevant professional body.

2.5 Operative

Employee of a contractor completing the activity.

2.6 Risk Assessments and Method Statement (RAMS)

A document provided by the contractor which incorporates a detailed written sequence for carrying out identified tasks, which may include risk assessments to ensure that the work activities are done in a sequence to confirm safety.

All RAMS will be reviewed by The Responsible Manager and approved prior to the task being undertaken. The Responsible Manager must also ascertain if the RAMS for the works will affect the fire evacuation strategy for the site; if it does then the Fire Safety team must be contacted before work can commence to enable fire safety concerns to be addressed and evacuation routes available and communicated.

2.7 Building Regulations Principal Designer

Duty Holder as identified by the Building Regulations (Amendments) Regulations 2023. Primary responsibility to assure that the design complies with the functional requirements of the Building Regulations

2.8 Building Regulations Principal Contractor

Duty Holder as identified by the Building Regulations (Amendments) Regulations 2023. Primary responsibility to assure that the construction reflects the design and that the quality of the workmanship allows compliance with the functional requirements of the Building Regulations.

2.9 Permit to Work

Any specified activity which is subject to the Permit to work process

2.10 Principal Designer

Duty holder as identified within the Construction (Design and Management) Regulations 2015. Primary role is to manage health and safety within the pre-construction phase of a project.

2.11 Principal Contractor

Duty holder as identified within the Construction (Design and Management) Regulations 2015. Primary responsibility to manage health and safety within the construction phase and to mitigate risk posed to operatives and others resulting from the work being carried out.

3. Context: Construction (Design and Management) Regulations

The Construction (Design) and Management Regulations 2015 (CDM) is the statutory mechanism which is used to define expectations of those instructing, designing and completing construction-related activities.

Within the HSE guidance L153 – Management of Health and Safety in Construction, work is defined as:-

“Construction work” means the carrying out of any building, civil engineering or engineering construction work and includes—

(a) the construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), de-commissioning, demolition or dismantling of a structure;

(b) the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation (but not pre-construction archaeological investigations), and the clearance or preparation of the site or structure for use or occupation at its conclusion;

(c) the assembly on site of prefabricated elements to form a structure or the disassembly on site of the prefabricated elements which, immediately before such disassembly, formed a structure,

(d) the removal of a structure, or of any product or waste resulting from demolition or dismantling of a structure, or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure;

(e) the installation, commissioning, maintenance, repair or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure,”

The CDM Regulations are universally applied to all defined work. For any projects where there are more than one designer and/or contractor the requirement for additional duty holders is initiated.

The HSE has defined responsibilities for the Client under the CDM Regulations, which are identified below: -

“A client is any individual or organisation that carries out a construction project as part of a business.

Clients have a crucial influence over how projects are run, including the management of health and safety risks. Whatever the project size, the commercial client has contractual control, appoints designers and contractors, and determines the money, time and other resources for the project.

For all projects, clients must:

- make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include:*
 - appointing the contractors and designers to the project (including the principal designer and principal contractor on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability*
 - allowing sufficient time and resources for each stage of the project*
 - making sure that any principal designer and principal contractor appointed carry out their duties in managing the project*
 - making sure suitable welfare facilities are provided for the duration of the construction work*
- maintain and review the management arrangements for the duration of the project*
- provide pre-construction information to every designer and contractor either bidding for the work or already appointed to the project*
- ensure that the principal contractor or contractor (for single contractor projects) prepares a construction phase plan before that phase begins*
- ensure that the principal designer prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site*

For notifiable projects (where planned construction work will last longer than 30 working days and involves more than 20 workers at any one time; or where the work exceeds 500 individual worker days), clients must:

- notify HSE in writing with details of the project via the electronic F10 form*
- ensure a copy of the notification is displayed in the construction site office”*

4. General considerations

The role of Responsible Manager has been defined within the Control of Contractor Policy. If an activity using those other than the Trusts employees (including those employees from other sites) is required to be carried out, the following consideration must be made. Throughout the course of planning and completing the act the Responsible Manager has clear responsibilities and requirements that need to be fulfilled.

Requirements	Planning	Competence	Induction and Front Door	Supervision	Handover
<p>Is this work completed by multiple contractors?</p> <p>Is this a Capital project? Has the feasibility process been completed?</p>	<p>Who is required to complete the activity?</p> <p>Is this a new supplier?</p> <p>Are there any internal stakeholder engagement required?</p> <p>Does this involve more than one contractor? Do you need to turn any services off for the activity?</p>	<p>Is this an existing contractor who is upon our approved contractor list?</p> <p>Has organisational competence been assessed and documented?</p>	<p>Has the necessary documentation been provided and assessed? Has the Responsible Manager reviewed and approved the Risk Assessment/Method Statements (at latest 48 hours before works starts)</p> <p>Have stakeholders been notified that this work going ahead?</p>	<p>Does the responsible manager know what spot checks are to be carried out?</p> <p>Is the activity affecting others? Is the activity appropriately segregated?</p>	<p>Is the relevant coloured clean required? Has this been arranged?</p> <p>Is there anything which needs turning back on or re-energising?</p>
<p>Is the scope of activity understood, and a Responsible Manager identified?</p> <p>Are they aware of their responsibilities?</p>	<p>Is the contractor aware of the requirements of the Trust?</p> <p>Have IPC risks been considered and mitigated (where applicable)?</p> <p>Could this activity affect any of our life safety systems?</p> <p>Has the scope of the activity been communicated to the contractor?</p>	<p>Have the people completing the activity been identified?</p> <p>Has the Responsible Manager assured the individual's competency?</p>	<p>Have all contractors associated with the activity been inducted?</p> <p>Have they signed onto their Risk Assessment (method statement where appropriate)?</p> <p>Have all the contractors signed in?</p>	<p>Is the contractor completing the required task?</p> <p>Is the area that they are working tidy?</p> <p>Is the contractor doing anything obvious which would increase risk to themselves or others?</p> <p>Have there been any complaints about the work?</p>	<p>Is there any handover information associated with this activity? Is there any specific certification?</p> <p>Are there any of the Trust's drawings which would need to be updated?</p> <p>Has this handover information been stored appropriately?</p>

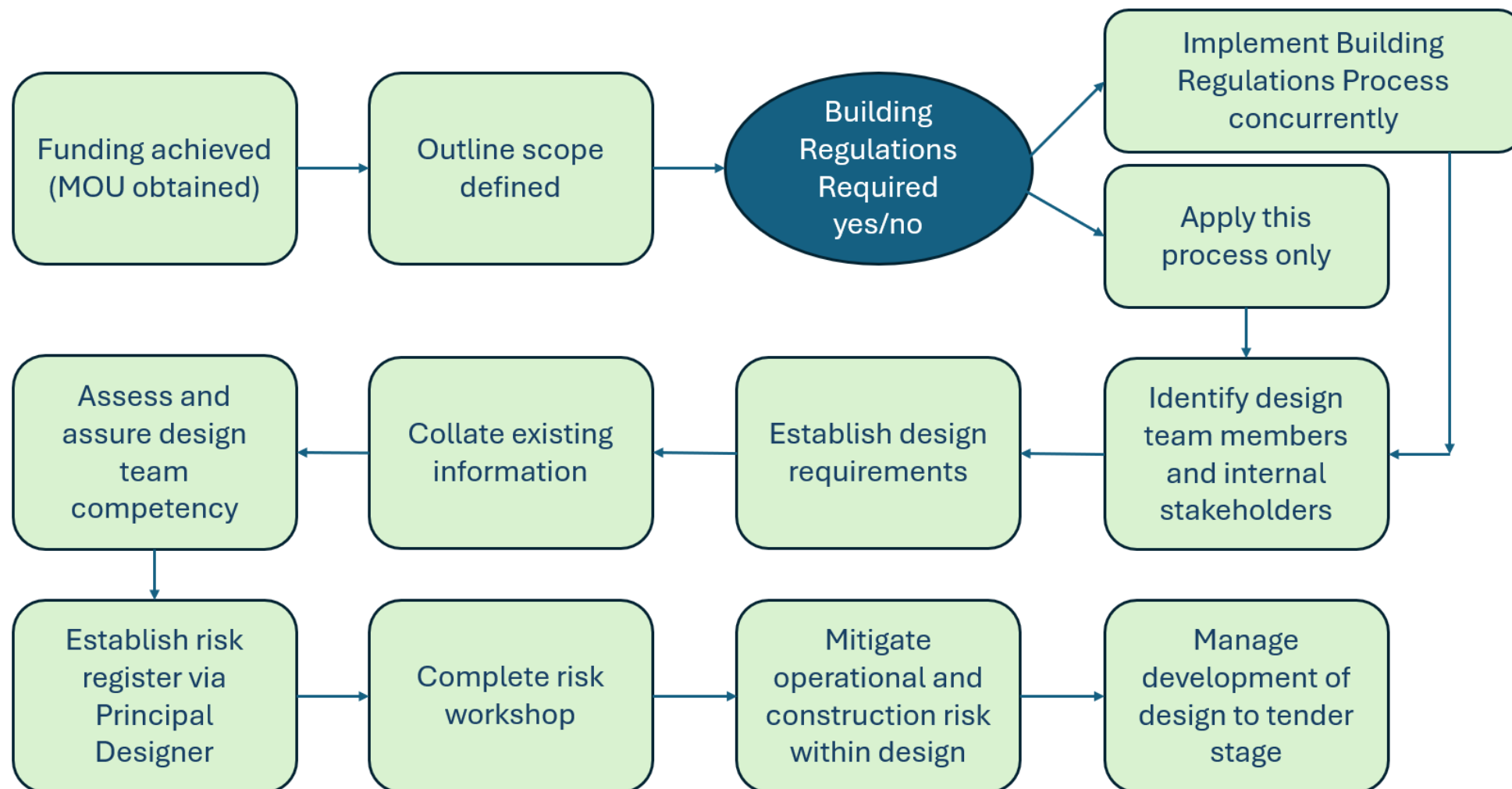
4.1 Pre-Planning (Capital Delivery)

As part of the delivery methodology at the Trust a feasibility exercise is often completed on potential projects.

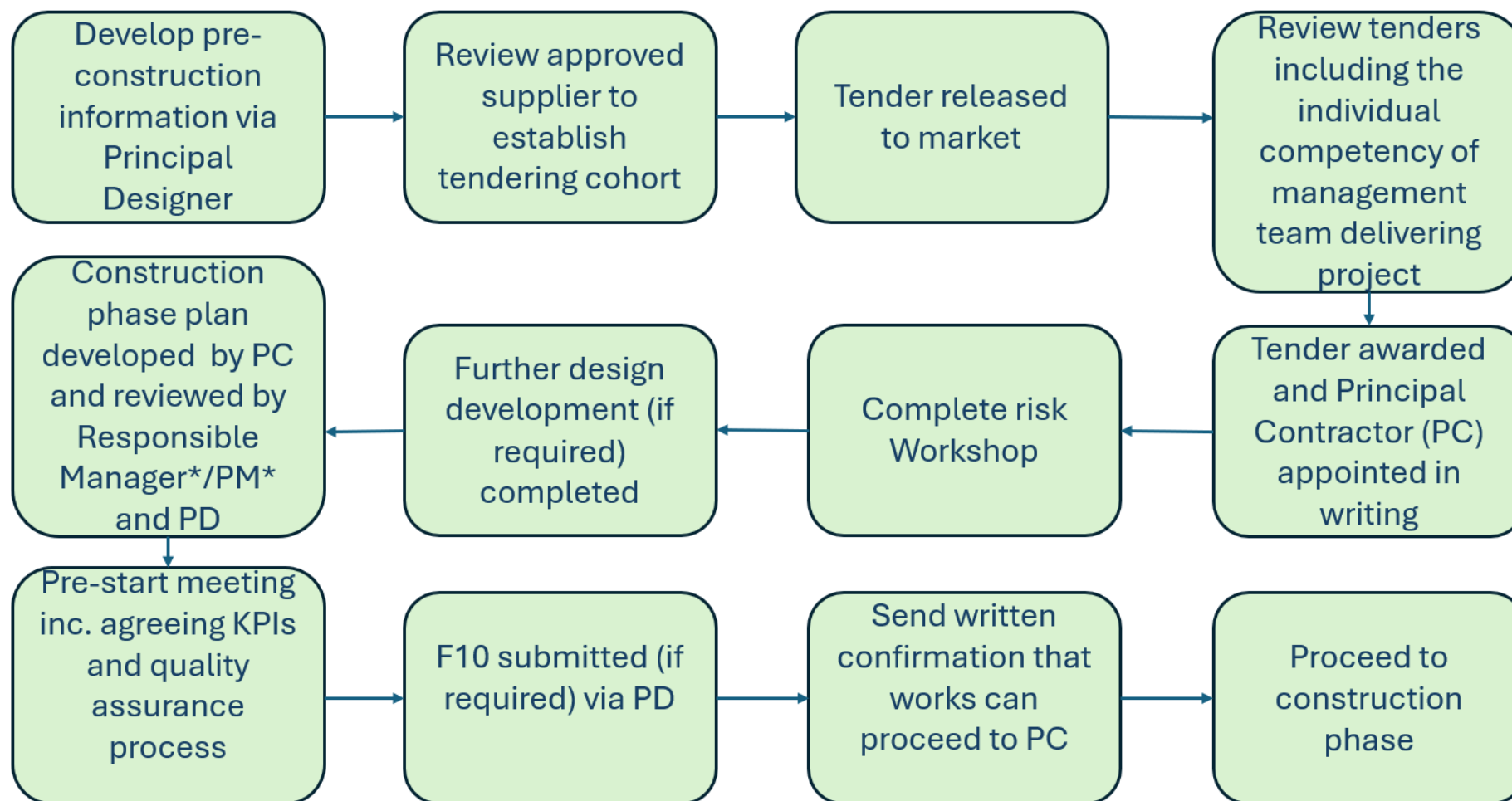
Within this exercise the Responsible Manger should: -

- Consider (and where appropriate instruct) any required surveys and collate relevant information to ascertain the feasibility of the project
- Consider the required subject matter expert (SME) support and appoint appropriate persons to assist in this exercise
- Consider the health and safety implications of the project
- Define internal stakeholder and processes which need to be complied with
- Mitigate where possible any risks associated with the project

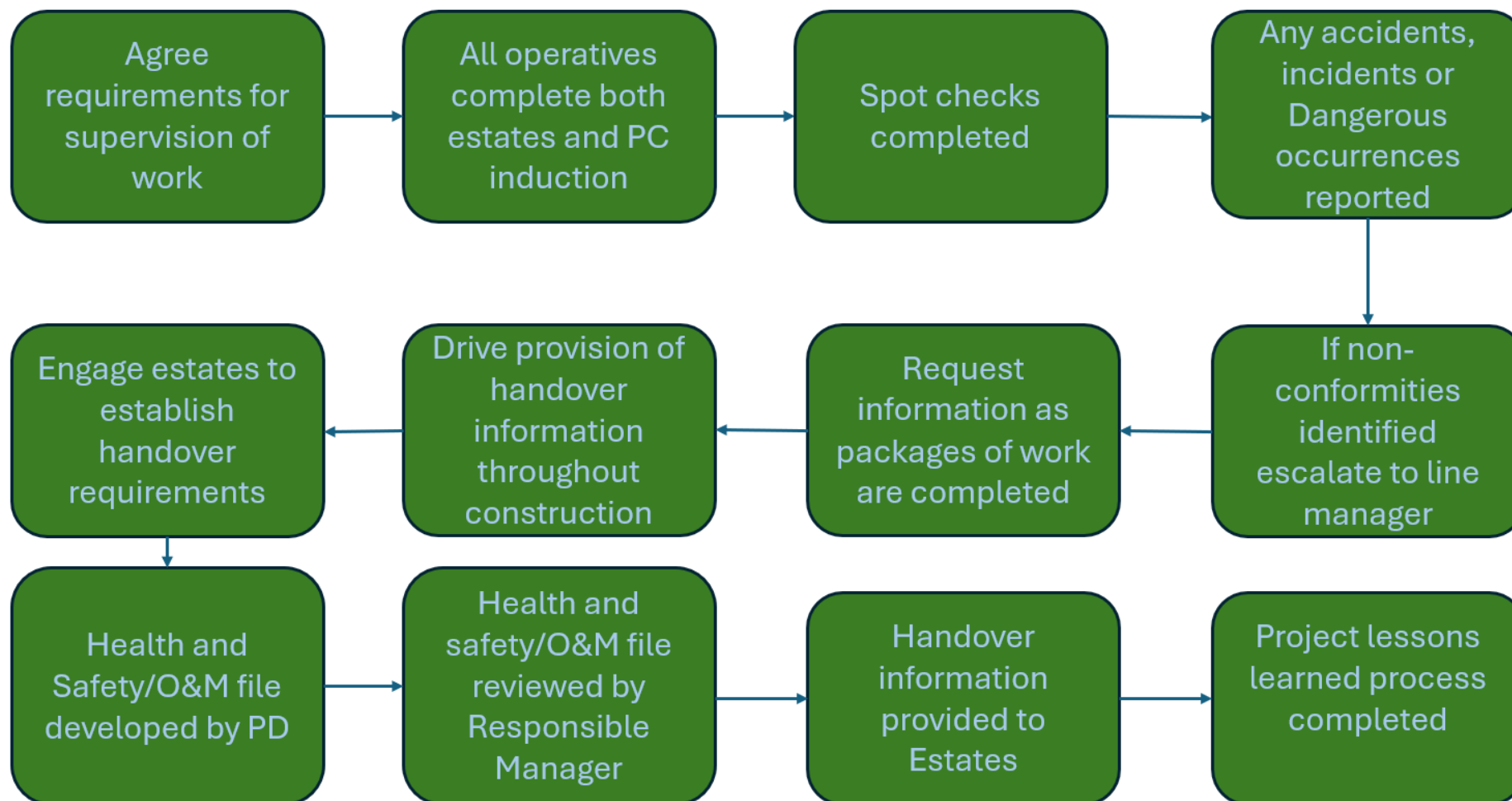
5. Construction Design and Management: Responsible Manager activities – Requirements/Planning RIBA stages 0-3



Construction Design and Management: Responsible Manager activities - Planning /Competence RIBA stage 4



Construction Design and Management: Responsible Manager activities - Induction/ Front Door/Supervision/Handover RIBA stages 5-6



6. Context: Building Regulations amendments

The Building Safety Act 2023 and the secondary legislation which has been developed under the statutory context of it has changed the way in which projects are delivered.

Within the Building Regulations (Amendments) Regulations The role of Principal Designer and Principal Contractor roles. These roles can be done by the respective principal designer /principal contractor under CDM however the deliverables associated with the respective roles is different.

Under these regulations the client (i.e. the Responsible Manager) duties under this role are summarised within the HSE guidance document Design and Building Work: Meeting Building Regulation Requirements. It states: -

“Managing the project

As the client, you must make suitable arrangements for planning, managing, and monitoring a project so it complies with all relevant requirements on completion.

You must:

- allocate enough time and resource for the building work to comply with building regulations*
- establish, review, and maintain systems and arrangements to meet building regulations*
- co-operate with others working on the project so they can comply with their duties*
- enable co-operation between designers and contractors*

You must provide building information to every designer and contractor working on the project. Building information relates to:

- the building work or design work*
- the planning and management of the project*
- any issues involving compliance with relevant requirements and how they have been addressed*

Appointing designers and contractors

You must take all reasonable steps to appoint designers and contractors with the necessary competence or organisational capability carry out their roles.

If there is more than one designer or contractor working on the project, you must appoint in writing a:

- principal designer to be in control of design work*
- principal contractor to be in control of the building work*

If the project has only one designer, they are the principal designer. If the project has only one contractor, they are the principal contractor.

Appointing an organisation as principal designer or principal contractor

You can appoint an organisation as the principal designer or principal contractor. The organisation must designate a competent individual from within the organisation to carry out the functions of the role. This does not make the individual the principal designer or principal contractor - the legal responsibilities remain with the organisation.”

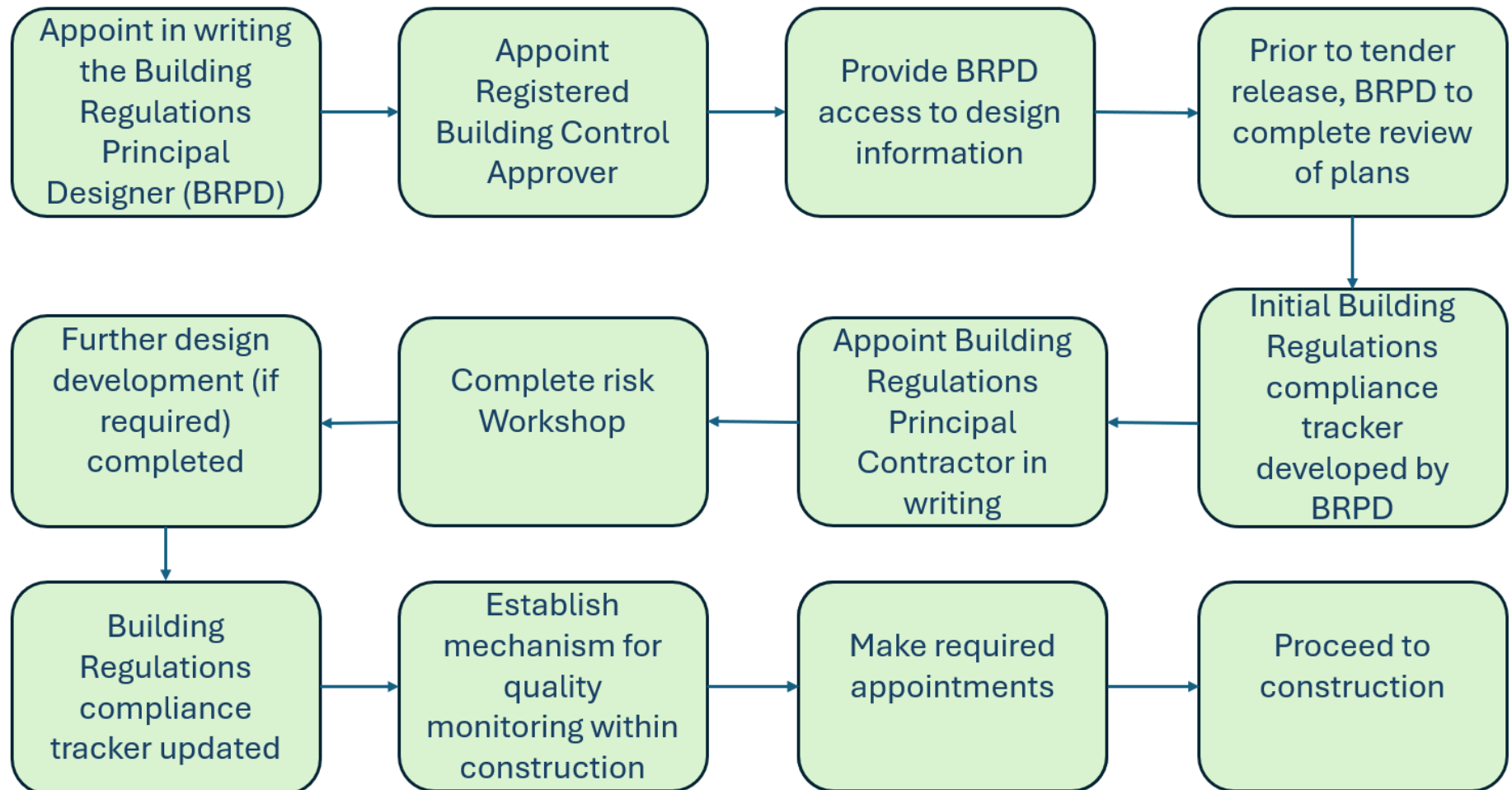
As the client under these regulations the Responsible Manager is required to appoint a Registered Building Control Approver (RBCA) which was previously known as an approved inspector.

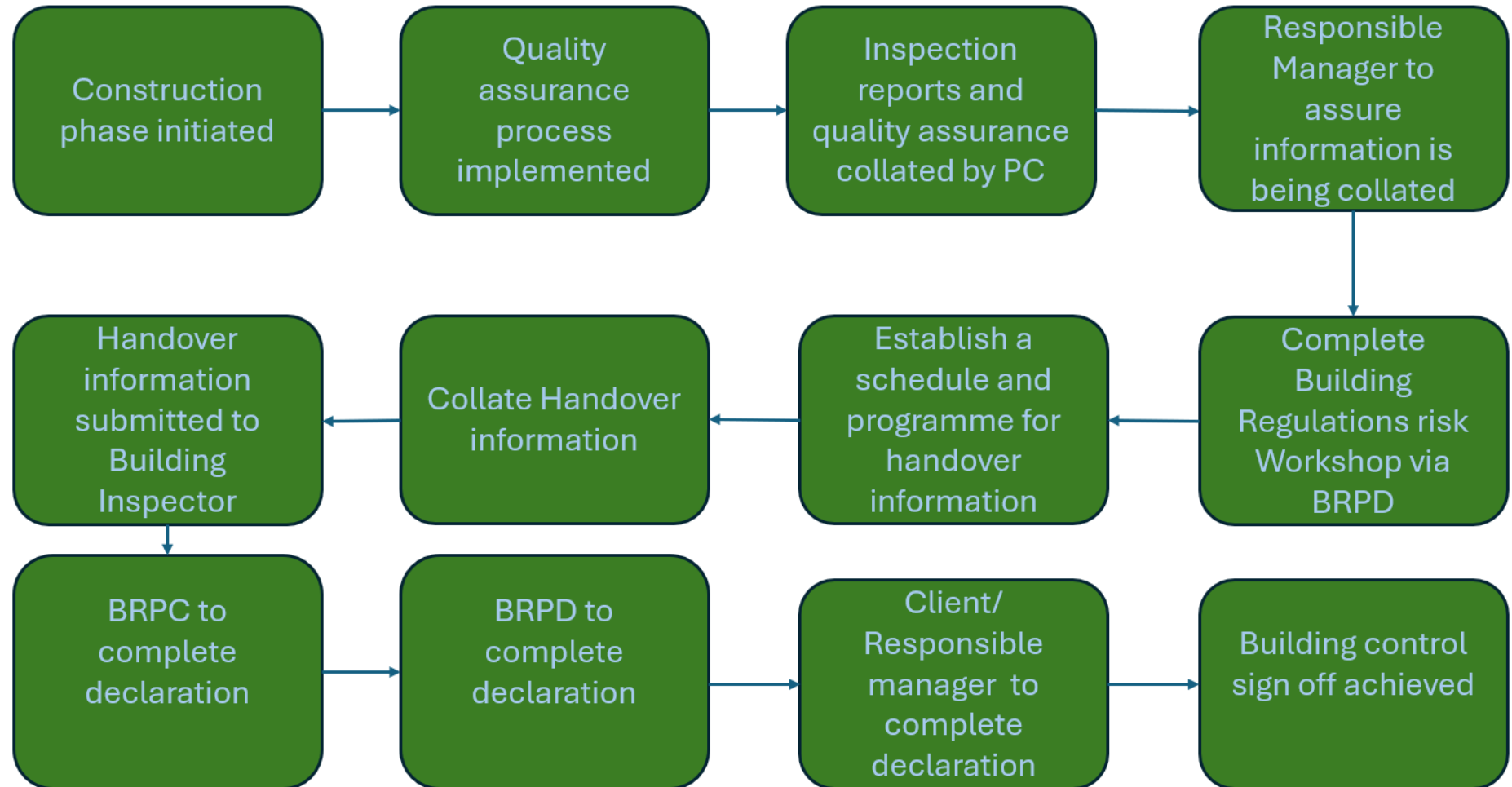
At the end of a project the RBCA will request that a declaration is signed by the Building Regulations principal contractor, Building Regulations principal designer and the client. Only once these declarations have been received, will the Building Control Certificate be released.

Below is flow chart articulating the steps and activities which need to be completed to achieve compliance with these statutory requirements.

7. Building Regulations: Responsible Manager activities – Requirements/Planning/ Competence

Note: Competency of the Building Regulations Principal Designer and Principal Contractor must be assessed





8. Supervision and quality monitoring

There must be appropriate arrangements put in place by the Responsible Manager to effectively manage and supervise the work of contractors. This includes ensuring signing in/out processes to control contractors for each day on site are adhered to and ensuring contractors only have access to the relevant areas of their work. All contractors must sign in and out with the Manager responsible for any work which is being carried out.

The Responsible Manager (or their pre-agreed representative) must be on site for the duration of contractor activities. The responsible person must ensure spot checks are conducted of the works to check works are proceeding as planned and that quality performance is maintained; see Appendix 1 for the check list.

Access control passes will be issued to key contractor personnel only and handed back at day end or end of agreed period of works. Adequate supervision must be provided for contracted work; this includes not only via contractors having their own supervision arrangements in place (where appropriate) but also by the Responsible manager or another delegated person. Supervision of contracted work may be continual or via spot checks, dependent on the level of risk of the task. The responsible manager must ensure arrangements are in place to do this. Contractors must also be issued with contact information so that if an issue arises the responsible manager and contractor can immediately discuss and agree how to manage the situation. If this isn't robust then it leads to risk of unplanned works being conducted without Trust knowledge or agreement.

Contractors and sub-contractors should carry out day-to-day checks to assure the health and safety performance and the quality of the work being completed. The contractor should record checks, daily briefings and toolbox talks and be able to provide them to the Responsible Manager if required.

Quality Monitoring

Quality Monitoring is the processes and procedures used to ensure that materials, workmanship, and finished projects meet specified standards and requirements.

The Responsible Manager as part of the planning process is required to assure themselves of the efficacy of any quality monitoring arrangements that are in place. There are several different ways in which this could be executed such as: -

- The contractor(s) may be completing works which enables self-certification
- The Principal Contractor has a robust quality monitoring system which the Responsible Managers deems adequate for the complexity and nature of the work
- The Responsible Manager engages external quality monitoring teams to undertake these activities

It is the Responsible Manager's role to engage and appoint a Registered Building Control Approver so that a Building Inspector can be assigned to the project. This is to be completed within the planning phase of any project.

Any project which requires Building Regulations sign will require a declaration to be signed by the Responsible Manager (i.e. the client under the CDM Regulations and Building Regulations amendments).

9. Accidents and incidents

All accidents, incidents and dangerous occurrences are to be reported by the Responsible Manager via the Datix system.

Some work-related accidents, diseases and dangerous occurrences must be reported to the enforcing authorities. These requirements are identified within the Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 2013.

It is good practice to investigate all injuries, cases of work-related ill health and 'near misses' to find out what went wrong and why they were not prevented. The responsible manager contractors and subcontractors should share the lessons learnt from monitoring and investigations with each other and with the entire workforce. Where health and safety requirements are not being met, the first step is for the responsible manager and the contractor to find out why and put matters right. All contractors are required to report incidents, near misses and accidents to the responsible manager .

If health and safety performance is not brought up to requirements, the responsible manager must stop the contractor working on the job until requirements can be met. Both the responsible manager and the contractor should review the work after completion to see if performance could be improved in future.

10. Completion of Works: Handover Procedure

The Works Handover Procedure ensures that upon practical completion of capital, minor, or backlog maintenance works, the built asset is safe, compliant, fully commissioned, and integrated into the Trust's operational management systems (including CAFM if in place or alternative). It covers the transition from construction to occupation and maintenance and must meet HTM, HBN, and CDM 2015 requirements.

Key stages of handover include:

Pre-Handover Readiness Review: Conducted by Capital Project Manager or Authorised Person (AP). Ensures all commissioning, testing, and snagging is complete.

Handover Inspection: Joint inspection with Estates, Infection Control, Fire Safety, Clinical Lead (where applicable), and Health & Safety.

Handover Pack Submission: Contractor provides full documentation pack (digital and hard copy).

Operational Acceptance: Estates and Facilities formally accept the asset.

Prior to handover, pre-acceptance activities must be conducted. Activities include commissioning, testing, and documentation review. Early communication among stakeholders is required as the formal Acceptance meeting will review e.g. compliance certificates, manuals, and defect lists. If rejected, then corrective actions must be taken before acceptance.

Acceptance – An Acceptance meeting is a formal mechanism to assess whether completed works are safe, functional, and meet the project brief. It has no contractual authority but can recommend acceptance or rejection. It may accept works with minor defects if they do not impede safe use. It is recommended a walk round of the works area is conducted with all attendees prior to this meeting. Recommended attendees at the meeting are:

- Contract Manager/ Administrator- Chair
- Head of Capital Planning
- Head of Estates
- Project Manager
- Estates officer
- Contractor
- Relevant APs

It is recommended a standard agenda is followed during these meetings and include such as below:

- Introductions and apologies
- Contract status
- Outcome of walk round
- Acceptance of documentation
- Recommendation of acceptance of works

Documents: A comprehensive list of documents must be provided, to aid acceptance including (but not limited to):

- Certificates of compliance (design, construction, fire, water, ventilation, etc.)
- Operation and Maintenance Manuals
- As-built drawings and test certificates
- Defects register and rectification plans
- Risk assessments and COSHH statements

To support the above refer to:

- Appendix 2: Statutory Compliance Documentation Checklist, Commissioning Paperwork Checklist, CAFM Asset Onboarding Template (as a guide).
- Appendix 3: Examples of the contractor handover requirements:
- Appendix 4: Example Template report for contractor handover

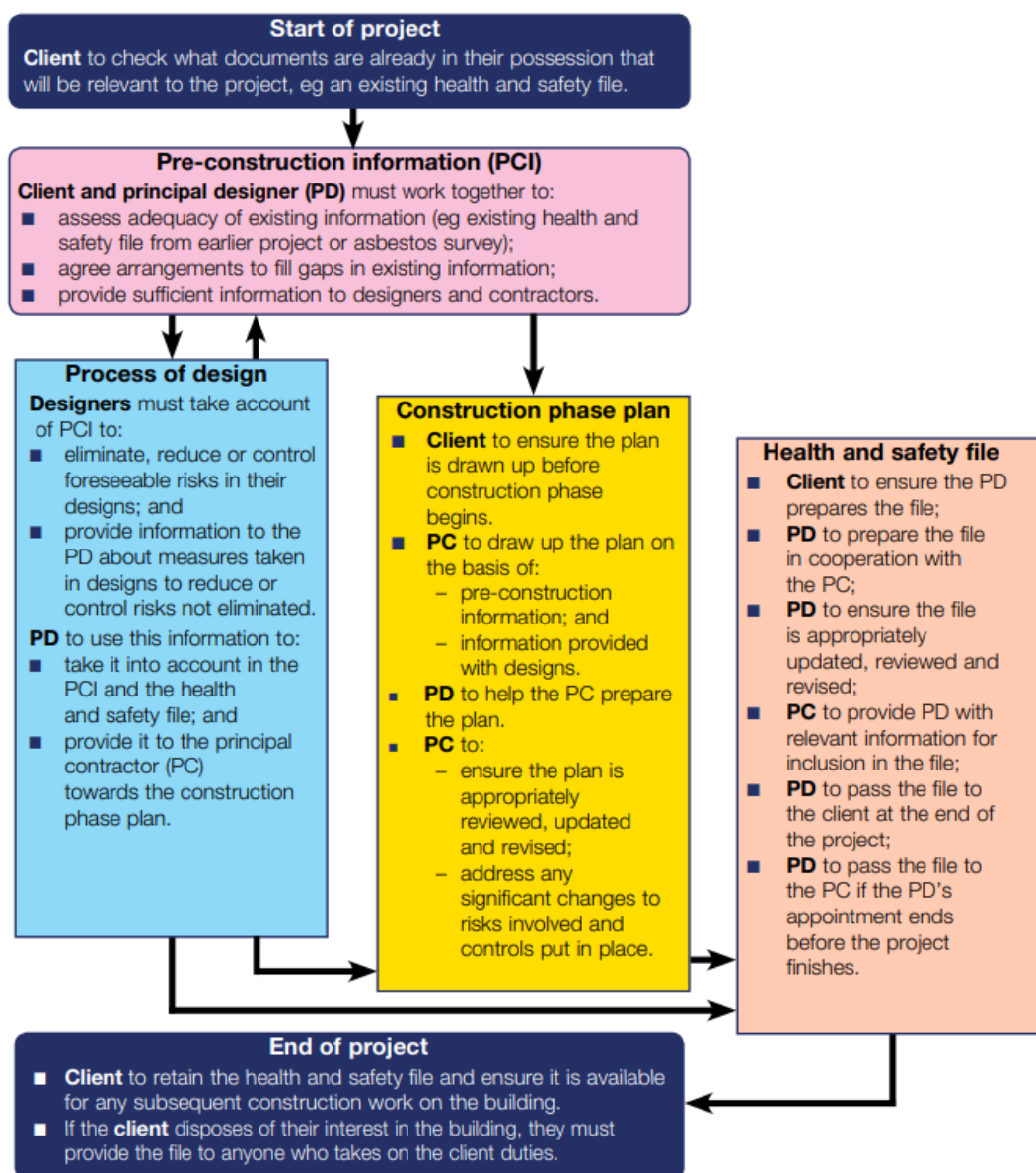
Liability: The Project Manager responsible for the works monitors defect rectification during the liability period with the Contract Administrator. A Final Certificate is issued once all defects are resolved. The client should avoid repairs that could void warranties

6 Further Reading

Construction (Design and Management) Regulations

L153- Managing Health and Safety in Construction (<https://www.hse.gov.uk/>)

Appendix 5 How different types of information relate to and influence each other in a construction project involving more than one contractor: A summary



Note: This diagram shows how the various types of information relate to each other and influence the content of other types of information during the construction process (the arrows show the possible different flows of information). So, for example as pre-construction information is developed, this influences the risks designers should consider and the information they provide about how their designs reduce or control foreseeable risks. In turn, this may influence further development of the pre-construction information, as well as the construction phase plan and the health and safety file.

Building Regulations ammedments and Building Regulations principal designer/contractor roles

PAS 8671 - Framework for competence individual Principal Designers

PAS 8672 - Framework for competence individual Principal Contractors

Building Regulations (Ammendments) Regulations 2023



PAS 8671:2022

Built environment – Framework
for competence of individual
Principal Designers – Specification

 Department for Levelling Up,
Housing & Communities

bsi.



PAS 8672:2022

Built environment – Framework for
competence of individual Principal
Contractors – Specification

 Department for Levelling Up,
Housing & Communities

bsi.

Appendix 1 – Spot Check Checklist

	Yes ?	No ?	N/A ?
1. Compliance and Documentation:			
Permits and licenses: Ensure that all necessary permits and licenses are on-site and up-to-date.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inspection and maintenance records: Check that all required inspection and maintenance records are available and up-to-date.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training records: Verify that workers have appropriate training for the tasks they are performing.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety meeting records: Confirm that safety meetings (e.g., toolbox talks) are being held regularly and documented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance with local regulations: Ensure the project is in compliance with local building codes, safety regulations, and environmental laws.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RAMS: Are the Approved RAMS kept on-site, and being adhered to?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Site Safety and Housekeeping:			
General site cleanliness: Ensure that pathways, work areas, and storage areas are free of debris.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Emergency exits and routes: Check that all emergency exits and escape routes are clearly marked and unobstructed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fire extinguishers: Verify that fire extinguishers are available, fully charged, and easy to access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
First aid kits: Confirm that first aid kits are stocked and accessible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Warning signs and barriers: Ensure that appropriate warning signs (e.g., "Hard Hat Area," "Wet Floor") are visible and barriers are in place.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lighting: Check that adequate lighting is available in all work areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Personal Protective Equipment (PPE):			
Head protection (Hard hats): Ensure that all workers are wearing hard hats where required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Foot protection (Safety boots): Confirm that workers are wearing appropriate safety footwear.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Eye protection (Goggles/Face shields): Check that workers are wearing eye protection in areas where needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hearing protection (Earplugs/Earmuffs): Ensure that hearing protection is being used in high-noise areas.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High-visibility clothing: Verify that workers are wearing high-visibility vests or clothing when required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Tools and Equipment:			
Condition of tools and machinery: Check that tools, machinery, and equipment are in good working order and properly maintained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Guarding on machines: Ensure that all moving parts of machines are adequately guarded.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Power tools safety checks: Verify that all power tools are checked for safety and used correctly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Electrical safety: Ensure that electrical equipment is properly grounded and that there are no exposed wires.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Work Practices:			
Work at height (Ladders, scaffolding): Check that scaffolding is erected correctly, ladders are stable, and fall protection is in place where required.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lifting operations (Cranes, hoists): Confirm that lifting operations are being carried out with certified equipment and operators are trained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manual handling procedures: Verify that workers are following safe lifting techniques.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confined spaces: Check that confined space entry procedures are being followed if applicable, including permits, ventilation, and proper PPE.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Health and Environmental Considerations:			
Noise levels: Check that noise levels are within acceptable limits and hearing protection is used where necessary.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dust and airborne contaminants: Ensure that dust control measures (e.g., water spray, dust extraction) are in place where needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Waste disposal: Verify that waste is being disposed of properly and that hazardous materials are stored and handled correctly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. General Site Condition:			
Access and egress: Ensure that the site has safe access and egress routes for vehicles and pedestrians.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Site security: Check that fencing or barriers are in place to prevent unauthorized access.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Material storage: Ensure that materials are stored safely, away from hazardous zones, and properly organized.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Traffic management: Verify that there are clear traffic management procedures in place if vehicles are on-site.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Subcontractors and Workmanship:			
Subcontractor compliance: Ensure that subcontractors are following the same safety protocols and regulations as the primary contractor.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quality of work: Perform random checks to confirm that the quality of work meets the required standards and specifications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Incident Reporting:			
Accident/incident log: Ensure that there is a system in place for reporting and investigating any accidents or near-misses on-site.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Corrective actions: Verify that any corrective actions identified in previous spot checks or reports have been implemented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Site Spot-Check Score:	0	0	0
Date that the Spot-Check was undertaken:			
Name of Site Agent:			
Name of Capital Projects Project Manager / TR:			
Capital Code:			
Site Name:			
Project Name:			

Appendix 2:

1. Statutory Compliance Documentation Checklist

Document	Relevant Regulation / HTM
Electrical Installation Certificate (EIC)	BS 7671, HTM 06-01
Emergency Lighting Test Certificate	BS 5266
Fire Alarm Test Certificate	BS 5839
Fire Strategy Report / Fire Risk Assessment	Regulatory Reform (Fire Safety) Order 2005
Gas Safe Commissioning Certificate	Gas Safety (Installation & Use) Regulations
Asbestos Survey / Register Update	Control of Asbestos Regulations 2012
Water Hygiene / Legionella Certificate	HTM 04-01, ACOP L8
Pressure Vessel Certification	Pressure Systems Safety Regulations 2000
LOLER Inspection Certificates	Lifting Operations & Lifting Equipment Regs
CDM 2015 Health & Safety File	CDM Regulations 2015
Building Control Completion Certificate	Building Act 1984
Planning Approval / Conditions Discharge	Local Authority
EPC (Energy Performance Certificate)	Energy Performance of Buildings Regs
BREEAM Certificate (if applicable)	Trust Sustainability Policy

2. Commissioning Paperwork Checklist

Document	Purpose
Commissioning Strategy and Plan	Confirms intent, scope, and sequence of activities
Commissioning Method Statements (e.g. HVAC, electrical)	Details test processes and expected performance
Test and Commissioning Reports	Confirms systems operate to specification
Validation Reports (e.g. for HVAC, critical systems)	NHS compliance for critical infrastructure

Document	Purpose
Witnessed Testing Certificates	Sign-off from Trust stakeholders
Training Attendance Records	For end users and estates teams
O&M Manuals (incl. commissioning sections)	Operation and maintenance information
Equipment Manufacturer Data Sheets	Technical reference and warranty details
Manufacturers' Warranties / Guarantees	For all installed equipment
Maintenance Schedules & Requirements	To define PPM schedules in CAFM
Software Licenses / Configuration (e.g. BMS)	Software, passwords, back-ups
Snagging / Defects Schedule with Rectification Plan	Outstanding works and timeline

3. CAFM Asset Onboarding Template

Use this template to standardise the data entry of new assets into your CAFM system:

Field	Description
Asset ID	Unique identifier (e.g. barcode, serial)
Asset Description	Plain English description (e.g. "AHU-01 Roof Plant Room")
Location	Site > Building > Floor > Room (as per drawings)
Manufacturer	Equipment manufacturer
Model Number	As provided in commissioning/O&M docs
Serial Number	From data plate or equipment
Install Date	Date system was commissioned
Warranty Expiry	Date warranty ends
Maintenance Start Date	When PPM contract or internal PPM begins
Maintenance Frequency	Monthly / Quarterly / Annually etc.
Service Type	Electrical / Mechanical / HVAC / Fire Safety / Medical Gas etc.

Field	Description
Assigned Contractor / Team	Internal or external resource responsible
Linked HTM	HTM code relevant to asset (e.g. HTM 03-01 for HVAC)
Risk Rating	Low / Medium / High (used to prioritise response)
Compliance Requirement	YES / NO (if linked to statutory requirement)
Document Link	File path or hyperlink to associated manuals, certs, drawings

Operations and Maintenance

Check list

- ☐ **Certificates of Compliance (Statutory and Regulatory)**
- ☐ **Risk Assessments and Safety Files**
- ☐ **O&M Instructions for all Equipment**
- ☐ **Maintenance Schedule and Asset Register**
- ☐ **Commissioning and Test Reports**
- ☐ **As-built Drawings and Layouts**
- ☐ **Manufacturer Manuals and Data Sheets**
- ☐ **Warranties and Guarantees**
- ☐ **Training Documentation and Records**
- ☐ **Digital Copy on USB or SharePoint location**

Appendix 3

Examples of the contractor handover requirements:

Field	Description
Asset ID	Unique identifier (e.g. barcode, serial)
Asset Description	Plain English description (e.g. "AHU-01 Roof Plant Room")
Location	Site > Building > Floor > Room (as per drawings)
Manufacturer	Equipment manufacturer
Model Number	As provided in commissioning/O&M docs
Serial Number	From data plate or equipment
Install Date	Date system was commissioned
Warranty Expiry	Date warranty ends
Maintenance Start Date	When PPM contract or internal PPM begins
Maintenance Frequency	Monthly / Quarterly / Annually etc.
Service Type	Electrical / Mechanical / HVAC / Fire Safety / Medical Gas etc.
Assigned Contractor / Team	Internal or external resource responsible
Linked HTM	HTM code relevant to asset (e.g. HTM 03-01 for HVAC)
Risk Rating	Low / Medium / High (used to prioritise response)
Compliance Requirement	YES / NO (if linked to statutory requirement)
Document Link	File path or hyperlink to associated manuals, certs, drawings

Appendix 4

Example template report for Contractor to use for an Effective Handover of information.

Operations and Maintenance (O&M) Manual Template – NHS Estates

1. Introduction

This Operations and Maintenance (O&M) Manual has been prepared to support the operation, maintenance, and management of the installed systems and components associated with the completed works. It includes information necessary for ensuring continued safe and efficient functioning of the building services and infrastructure, in compliance with NHS guidelines and statutory requirements.

2. Project Information

Project Title:

Project Number:

Location / Site:

Main Contractor:

Project Manager:

Date of Practical Completion:

3. System Overview

- Summary of works carried out
- Building systems affected (e.g., HVAC, electrical, plumbing, fire safety)
- Key components and interfaces

4. Manufacturer & Supplier Information

Include all supplier and manufacturer contacts relevant to maintenance or warranty.

5. Planned Preventive Maintenance (PPM) Schedule

Provide maintenance frequencies, tasks, and associated components in tabular format.

6. Health & Safety Information

- Asbestos Register Reference
- Risk Assessments & Method Statements (RAMS)
- COSHH Information
- Manual Handling Guidance

7. Statutory Compliance Certificates

- Electrical Installation Certificate
- Fire Alarm Commissioning Certificate
- Emergency Lighting Certificate
- Gas Safety Certificate
- Water Hygiene (Legionella) Certificate
- Pressure Vessel & LOLER Certificates
- Building Control Completion Certificate

8. Drawings and Schematics

- As-built Drawings
- Schematics (Mechanical/Electrical/Fire/IT/Medical Gases)
- Layout and Zone Diagrams

9. Asset Register

Include a tabulated list of assets with unique ID, location, description, install date, warranty expiry.

10. Training Records

- Attendance lists
- Agenda and topics covered
- Copies of handouts or training materials

11. Commissioning Reports

- HVAC Systems
- Electrical Systems
- Water Systems
- Fire Alarm & Detection Systems
- Validation Reports (where applicable)

12. O&M Manual Submission Checklist

- ☐ Cover Page with Project Title and Contact Info
- ☐ Project Summary and Scope
- ☐ Full list of Contractors and Suppliers
- ☐ Certificates of Compliance (Statutory and Regulatory)
- ☐ Risk Assessments and Safety Files
- ☐ O&M Instructions for all Equipment
- ☐ Maintenance Schedule and Asset Register
- ☐ Commissioning and Test Reports

- ☐ As-built Drawings and Layouts
- ☐ Manufacturer Manuals and Data Sheets
- ☐ Warranties and Guarantees
- ☐ Training Documentation and Records
- ☐ Digital Copy on USB or SharePoint location

Supporting Document 1 - Equality Impact Assessment Tool

To be completed by the key document author and included as an appendix to key document when submitted to the appropriate committee for consideration and approval.

Please complete assessment form on next page;



Herefordshire & Worcestershire STP - Equality Impact Assessment (EIA) Form
 Please read EIA guidelines when completing this form

Section 1 - Name of Organisation (please tick)

Herefordshire & Worcestershire STP	<input type="checkbox"/>	Herefordshire Council	<input type="checkbox"/>	Herefordshire CCG	<input type="checkbox"/>
Worcestershire Acute Hospitals NHS Trust	<input checked="" type="checkbox"/>	Worcestershire County Council	<input type="checkbox"/>	Worcestershire CCGs	<input type="checkbox"/>
Worcestershire Health and Care NHS Trust	<input type="checkbox"/>	Wye Valley NHS Trust	<input type="checkbox"/>	Other (please state)	<input type="checkbox"/>

Name of Lead for Activity	Julie Noble
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Details of individuals completing this assessment	Name	Job title	e-mail contact
	Eno Udoh	Dept Health and Safety Manager	Eno.udoh2@nhs.net
Date assessment completed	31/07/2025		

Section 2

Activity being assessed (e.g. policy/procedure, document, service redesign, policy, strategy etc.)	Title: Non Minor works and capital delivery		
What is the aim, purpose and/or intended outcomes of this Activity?	To describe the process and management for Non Minor works and capital delivery in line with CDM regulations.		
Who will be affected by the development & implementation of this activity?	<input checked="" type="checkbox"/> Service User <input checked="" type="checkbox"/> Patient <input checked="" type="checkbox"/> Carers <input checked="" type="checkbox"/> Visitors	<input type="checkbox"/> Staff <input type="checkbox"/> Communities <input type="checkbox"/> Other _____	

Is this:	<input type="checkbox"/> Review of an existing activity <input checked="" type="checkbox"/> √ New activity <input type="checkbox"/> Planning to withdraw or reduce a service, activity or presence?
What information and evidence have you reviewed to help inform this assessment? (Please name sources, eg demographic information for patients / services / staff groups affected, complaints etc.)	A review of applicable Worcestershire Royal Acute Hospitals NHS Trust policies, HSE website and UK applicable regulations has been conducted.
Summary of engagement or consultation undertaken (e.g. who and how have you engaged with, or why do you believe this is not required)	Key parties have been provided with this Policy for review / comment (e.g. H&S committee). The H&S manager has ensured this policy meets legal obligations.
Summary of relevant findings	No impact to others from this document; this is a continual improvement process.

Section 3

Please consider the potential impact of this activity (during development & implementation) on each of the equality groups outlined below. **Please tick one or more impact box below for each Equality Group and explain your rationale.**

Please note it is possible for the potential impact to be both positive and negative within the same equality group and this should be recorded. Remember to consider the impact on e.g. staff, public, patients, carers etc. in these equality groups.

Equality Group	Potential <u>positive</u> impact	Potential <u>neutral</u> impact	Potential <u>negative</u> impact	Please explain your reasons for any potential positive, neutral or negative impact identified
Age	√			
Disability	√			
Gender Reassignment	√			
Marriage & Civil Partnerships	√			
Pregnancy & Maternity	√			
Race including Traveling Communities	√			
Religion & Belief	√			
Sex	√			
Sexual Orientation	√			

Equality Group	Potential <u>positive</u> impact	Potential <u>neutral</u> impact	Potential <u>negative</u> impact	Please explain your reasons for any potential positive, neutral or negative impact identified
Other Vulnerable and Disadvantaged Groups (e.g. carers; care leavers; homeless; Social/Economic deprivation, travelling communities etc.)	v			
Health Inequalities (any preventable, unfair & unjust differences in health status between groups, populations or individuals that arise from the unequal distribution of social, environmental & economic conditions within societies)	v			

Section 4

What actions will you take to mitigate any potential negative impacts?	Risk identified	Actions required to reduce / eliminate negative impact	Who will lead on the action?	Timeframe
How will you monitor these actions?				
When will you review this EIA? (e.g in a service redesign, this EIA should be revisited regularly throughout the design & implementation)	When the document is due for review.			

Section 5 - Please read and agree to the following Equality Statement

1. Equality Statement

1.1. All public bodies have a statutory duty under the Equality Act 2010 to set out arrangements to assess and consult on how their policies and functions impact on the 9 protected characteristics: Age; Disability; Gender Reassignment; Marriage & Civil Partnership; Pregnancy & Maternity; Race; Religion & Belief; Sex; Sexual Orientation

1.2. Our Organisations will challenge discrimination, promote equality, respect human rights, and aims to design and implement services, policies and measures that meet the diverse needs of our service, and population, ensuring that none are placed at a disadvantage over others.

1.3. All staff are expected to deliver services and provide services and care in a manner which respects the individuality of service users, patients, carer's etc, and as such treat them and members of the workforce respectfully, paying due regard to the 9 protected characteristics.

Signature of person completing EIA	Eno Udoh
Date signed	31 st July 2025
Comments:	
Signature of person the Leader Person for this activity	Julie Noble
Date signed	01/08/2025
Comments:	



Supporting Document 2 - Financial Risk Assessment

To be completed by the key document author and attached to key document when submitted to the appropriate committee for consideration and approval.

	Title of document:	Yes/No
1.	Does the implementation of this document require any additional Capital resources	NO
2.	Does the implementation of this document require additional revenue	NO
3.	Does the implementation of this document require additional manpower	NO
4.	Does the implementation of this document release any manpower costs through a change in practice	NO
5.	Are there additional staff training costs associated with implementing this document which cannot be delivered through current training programmes or allocated training times for staff	NO

If the response to any of the above is yes, please complete a business case which is signed by your Finance Manager and Directorate Manager for consideration by the Executive Team before progressing to the relevant committee for approval.