**Management of Contractors**

**V1**

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**Introduction**

The University has a statutory responsibility to ensure, so far as is reasonably practicable, the health, safety and welfare of all its employees, students, visitors and contractors. This means that we need to take the necessary actions to ensure that our activities, and those of the contractors (and their subcontractors) that we engage with, do not endanger any member of staff, our students or visitors.

**Scope**

A contractor can be described as anyone who you get in to work for you who is not an employee. At any one time, the University engages with a large variety of contractors e.g. for maintenance, repairs, installation, construction, demolition, provision of services and many other jobs.

Although the principles used in managing contractors are similar for any type of contract being managed, there can be some variation in the detailed processes employed. For example, contractors engaged on a large project falling within the requirements of the Construction (Design and Management) Regulations (CDM) are managed in a different way to a contractor engaged to service a piece of laboratory equipment.

The majority of contractors are engaged by staff working within Estates and Campus Services but there are also many contractors engaged by staff working within other Service areas and Schools.

The summary below broadly sets out the types of contract that are within the scope of this guidance:

|  |  |
| --- | --- |
| **Type of contract** | **Guidance** |
| Contractor engaged for short term project work e.g. minor partition wall works, window cleaning, IT cabling works. | Use this guidance |
| Contractor engaged in construction work as part of a notifiable CDM project e.g. building redevelopment | This guidance is not intended to cover the detailed arrangements for these projects – see ACOP L144 |
| Contractors engaged for specialist work e.g. installation of specialist equipment or plant | Use this guidance |
| Use for term contractors for maintenance and small project work e.g. Marshall, | Use this guidance |
| Use of contractors for equipment maintenance and servicing e.g. lab equipment, fire alarm servicing, | Use this guidance |
| Service providers e.g. Sodexo, Veolia, Risktec | Refer to specific tender documentation and agreed work methodology |
| Contractors engaged by University tenants | Refer to tenant information. This guidance may be helpful. |

**Responsibility**

The Health and Safety at Work Act applies to all work activities. It requires the University to ensure, so far as is reasonably practicable, the health and safety of its employees and other people at work on their site, including contractors, and students and other members of the public who may be affected by the work. Employees and contractors have a duty to take care not to endanger themselves, their colleagues or others affected by their work.

Contractors (as an employer) also have to comply with the Health and Safety at Work Act and other safety legislation. Therefore, cooperation and communication are needed to make sure all parties can meet their obligations.

**If you engage with a contractor you have the devolved responsibility to manage the contractor and ensure safe working.**

**Any aspects of a project involving construction, excavation, demolition, fixing to or removal from the fabric of the building or connection/ modification to utility services must be authorised by a member of the Property Management team. For example, an IT project to install new network cables may involve excavating new trenches. The member of IS staff managing the project must liaise with Property Management at the project planning stage (and before engaging with a contractor) to ensure the proper management of the health and safety aspects of the excavation work.** Therefore, a coordinated approach may be required for some work.

**Guidance**

There are five recognised steps in managing contractors:

1. Planning
2. Choosing a contractor
3. Contractors working on site
4. Monitoring
5. Review of the contract
6. **Planning**

* Clarify who is the lead person for managing the work (this may be you or someone you delegate it to).
* Define the work that needs to be done, being clear about the task, the location of the work, and who else might be affected by the work. For tasks that are not managed directly by Property Management and that involve construction, excavation, demolition, work on any roof or connection/ modification to services then you must seek authorisation from Property Management.
* Identify the significant hazards of the work: Typical hazards might include:
  + - work at height and roof work
    - work in confined spaces
    - proximity to services (gas, water, electricity)
    - hot work (heat, naked flame, welding)
    - fire safety
    - creation of dusts
    - excavations and trenches
    - access equipment, scaffolding, tower scaffolding, ladders
    - powered equipment
    - lifting equipment and lifting operations
    - manual handling operations
    - Substances hazardous to health (COSHH)
    - Noise or vibration
* You should identify the risks in the work area that might affect the contractors e.g.
  + - the state of the plant
    - access restrictions (e.g. labs)
    - fire alarm systems
    - presence of chemicals
    - asbestos
* Identify ways to eliminate or reduce these risks and decide whether the implementation of safety precautions is up to you, up to the contractor or a joint responsibility.
* You should also consider other arrangements such as:
  + - Welfare
    - first aid
    - any additional fire safety arrangements
    - parking
    - waste removal
    - any additional security arrangements
* Identify and liaise with occupants or users of any area affected by the works and where appropriate engage with them in drawing up a plan for dealing with these impacts e.g. whether there is a need to segregate the contractors work from other activities taking place by scheduling the work to be completed out of hours or by physical separation using barriers etc.

1. **Choosing a contractor**

* Approach contractor selection carefully.
* Identify any specific health and safety requirements associated with the task and include them in the contractor specification. Minimum standards required for Health and safety are included in the tender documentation. These are listed in appendix 1
* Check the HSE’s notices and prosecutions database ([www.hse.gov.uk/enforce/index.htm](http://www.hse.gov.uk/enforce/index.htm)) to determine if the potential contractor has been subject to any form of legal sanction.
* Be clear with the contractor about the task, the significant hazards, the site rules, the precautions and whose responsibility it is to implement these.
* Make sure that you obtain a safety method statement for the task that takes account of the information you have provided to them (site risks, impact on others, site rules etc), their risk assessment of the significant hazards of doing the work, and the precautions that need to be implemented and whose responsibility this is. Make sure that the method statement is relevant to this task and not a generic statement they provide to all their customers.
* Discuss the method statement with the successful contractor and, if necessary, ask for changes to it. You must be satisfied that the work will be completed safely. Complete the Risk Assessment/Method Statement Appraisal form in Appendix 2 and retain within the job file.
* For some work that is particularly hazardous, you may require a permit to work. A Permit to Work is issued to the contractor for the day/s of work using the eHandS safety management software (A ‘Word’ version of this is available from the Senior Maintenance Manager if you do not have access to eHandS). The permit can only be issued once you have discussed with the contractor the risk assessment and control precautions for the task and are assured that these will be implemented. Permits to work are usually required for:

Work on roofs

Hot work

Work in a confined space

Work on live electrical equipment

Work in a lift shaft

Work with asbestos containing materials

* If the contractor or their staff are new to the University they must complete a contractor induction and be given a contractor carry card (cards available from OR&ES). The induction should provide information about the University such as emergency procedures. A suitable contractor induction DVD is available from Property Management, should you wish to use it, which is relevant to all contractors appointed to work at the University.

1. **Contractors working on site**

* Ensure that either you or another responsible person appointed by you, is available to meet the contractors when they arrive on site. All contractors should be asked to sign in and out and you should have a system in place to enable them to do this.
* Carry out a contractor briefing. You need to confirm with the contractor and their staff on arrival that they have viewed the induction DVD, that permits to work (if required) have been issued, that they understand the hazards associated with the work and that all the safety precautions are in place.
* Remember to let other people at the University who may be affected by the work know about the arrangements for the work, how they might be affected, and what plans you have agreed to minimise any disruption.
* You should monitor the progress of the work even if you know the contractor well – there may be other specific aspects within the work area that may impact on the contractor. A ‘Management of Contractors’ checklist is provided in Appendix 3

1. **Monitoring**

* Contractors are responsible for supervising their own work and for ensuring that they work safely, but you also need to check that the contractors are doing the job in the way you agreed.
* The amount of contact you have with the contractor must be related to the hazards and risks associated with the job i.e. High risk jobs will need more contact time than low risk jobs.
* You need to keep a check on how the job is going:
  + - Is the job going as planned?
    - Is the contractor working safely and as agreed?
    - Have there been any incidents?
    - Is the work affecting other people at the University in a way that was not predicted?
    - Have there been changes in personnel?
* Encourage contractors to report all incidents, near misses and injuries to you. This gives you and the contractor an opportunity to look at any underlying causes and put matters right before someone is hurt.

1. **Review of the contract**

* Once the contractor has finished it is important to review the quality of the work but also the way contractor performed. You may wish to consider
  + - Were there any health and safety problems?
    - Would you accept the contractor back on site again?
    - Did you need to take any action?
    - How good was the contractor at keeping the site clean and tidy?
    - Do you know enough about the contractor to place them on a preferred list?
    - How was your planning – was it adequate?
    - Was the work completed as agreed?
    - Were all the permits to work signed off (if required)?
    - Have any remaining actions been agreed and a timescale set for their completion?
    - Do plant records, CAD drawings and plans need modification?

**Appendix 1**

**Minimum standards required for Health and Safety (included in tender documentation)**

**Please confirm that the following Health and safety minimum requirements are in place:**

1. That there is a Health and Safety Policy, signed by the senior manager responsible for health and safety, that contains all of the following commitments to: (please provide a copy of the policy)
   * Continuous improvement in health and safety
   * Regularly reviewing and developing the health and safety policy statement
   * Planning for health and safety
   * Effective communication on health and safety
   * Involving staff health and safety representatives
   * Allocating adequate resources for health and safety
   * Securing the competence of staff
   * Securing competent specialist advice
2. That there are defined standards for the control of significant hazards that meet the requirements set out in legislation. These should clearly describe: (please provide examples)
   * How significant hazards are identified
   * How these hazards are assessed and control precautions implemented
   * How assessments and control precautions are communicated to relevant staff
   * How the assessments and control precautions are reviewed and updated
3. That there are health and safety arrangements in place that at least include all of the following: (please provide a copy of these arrangements)
   * Risk assessment and implementation of control precautions
   * Accident reporting and accident investigation
   * Supervision
   * Communication and consultation with employees
   * Training
   * First aid
   * Health Surveillance

**Appendix 2**

**Risk assessment/ Method Statement Appraisal form**

|  |  |
| --- | --- |
| **Contractor** |  |
| **Description of work** |  |
| **Location** |  |
| **Date that work is due to commence** |  |
| **Date of appraisal** |  |
| **Name of responsible person** |  |
| **Signature** |  |

|  |  |
| --- | --- |
| *Circle status* |  |
| **Status A** | Work may proceed. Risk control Systems to be implemented (regular monitoring and review) |
| **Status B** | Work may proceed on condition that minor supplementary control measures are implemented before work starts. |
| **Status C** | Work may NOT proceed until further control measures, as indicated, are put in place. Reassessment to be undertaken. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Content** | Are measures suitable? | | | **Remarks** |
| **N/A** | **Yes** | **No** |
| **Scope of works** |  |  |  |  |
| Coordination between you and Property Management required? |  |  |  |  |
| Method of work and sequence  Documented |  |  |  |  |
| Location of work detailed |  |  |  |  |
| Temporary works necessary |  |  |  |  |
| **Content** | Are measures suitable? | | | **Remarks** |
| **N/A** | **Yes** | **No** |
| Equipment to be used documented |  |  |  |  |
| Access equipment required |  |  |  |  |
| Means of lifting and fixing |  |  |  |  |
| Barrier and signage required, and adequate segregation |  |  |  |  |
| Permits to work referenced |  |  |  |  |
|  |  |  |  |  |
| **Risk assessment** |  |  |  |  |
| Risk assessments for task completed |  |  |  |  |
| Correct PPE/ RPE identified |  |  |  |  |
| Contractor’s supervisor named |  |  |  |  |
| Specific training identified |  |  |  |  |
|  |  |  |  |  |
| **Supporting documentation** |  |  |  |  |
| Relevant specifications |  |  |  |  |
| Reference drawings |  |  |  |  |
| Programme of works |  |  |  |  |
| Specific site instructions |  |  |  |  |
| **Content** | Are measures suitable? | | | **Remarks** |
| **N/A** | **Yes** | **No** |
| Permits to work referenced |  |  |  |  |
| Site and hazard information provided to Contractor |  |  |  |  |
|  |  |  |  |  |
| **Health, Safety and Environment** |  |  |  |  |
| Hazards and risk identified |  |  |  |  |
| All relevant assessments referenced, listed and attached to method statement |  |  |  |  |
| Control measure detailed |  |  |  |  |
| All relevant COSHH assessments listed and attached |  |  |  |  |
| Security of materials and storage |  |  |  |  |
| Material transportation and handling |  |  |  |  |
| Disposal methods (if unsure contact Cleaning and Waste Manager or Head of Facilities) |  |  |  |  |
| Welfare arrangements required |  |  |  |  |
| Environmental limitations (dust, noise, pollution, waste) |  |  |  |  |
|  |  |  |  |  |
| **Supervision** |  |  |  |  |
| Nominated supervisor identified |  |  |  |  |
| **Content** | Are measures suitable? | | | **Remarks** |
| **N/A** | **Yes** | **No** |
| Training requirements identified for supervisor |  |  |  |  |
| Nominated supervisor to give method statement briefing |  |  |  |  |
|  |  |  |  |  |
| **Emergency Requirements** |  |  |  |  |
| Fire safety requirements identified (exit routes, fire extinguishers) |  |  |  |  |
| Accident procedures in place and reporting process made known |  |  |  |  |
| Emergency evacuation procedures (general) |  |  |  |  |
| Emergency evacuation procedures (special requirements e.g. confined spaces) |  |  |  |  |
| First aiders identified |  |  |  |  |
| Environmental emergency procedures (Spill kits etc) |  |  |  |  |
|  |  |  |  |  |
| **Compliance** |  |  |  |  |
| Person responsible for compliance with method statement |  |  |  |  |
| All relevant information received by contractor (asbestos survey information) |  |  |  |  |

**Appendix 3**

**Management of Contractors Checklist**

|  |  |
| --- | --- |
| Contractor |  |
| Description of work |  |
| Location |  |
| Date work to commence |  |
| Duration of work |  |
| Contractor main contact |  |
| Contact number |  |
| University contact |  |
| Contact number |  |

|  |  |  |
| --- | --- | --- |
| If works involves construction, excavation, demolition or connection/ modification to utility services has this been authorised by a member of the Property Management team | **Yes/ no** | *Initial* |
| Has evidence of the contractors’ competency been obtained (Including methods for appointing sub contractors)? | **Yes/ no** | *Initial* |
| Has the contractors insurance been confirmed and is it in date? | **Yes/ no** | *Policy number and expiry date:* |
| Have you given the contractor a copy of the University’s site information and relevant surveys (Asbestos, carry card etc.) | **Yes/ no** | *Initial* |
| Are the risk assessments and method statements from the contractor appropriate to the risk and acceptable? | **Yes/ no** | *Initial* |
| Has the date for the commencement of work been agreed with the contractor? | **Yes/ no** | *Initial* |
| Have any permits to work been agreed and provided | **Yes/ no/ NA** |  |
| Have you completed a site induction with the contractor? | **Yes/ no** | *Initial and date* |

|  |  |  |
| --- | --- | --- |
| When monitoring the contractor have any issues been identified? | **Yes/ no** | *Detail* |
| What is the overall performance of the contractor |  | |
| Has the work been completed and the area left clean and tidy? | **Yes/ no** |  |