



University of Sussex  
Health, Safety & Wellbeing Office

# Management of Contractors Policy

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**University of Sussex**  
**Management of Contractors Policy**  
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## 1. Introduction:

The core legal duties defined in the Health & Safety at Work etc Act 1974 and Management of Health & Safety at Work Regulations 1999 apply to the control of contractors on University premises or locations under University control. Specifically, contractors owe a Duty of Care to their own staff and to University staff. The University owes a Duty of Care to contractor staff and to its own staff. The Duty of Care means that employees and third parties such as contractors should not be exposed to unacceptable risks to their health and safety. The University's duty is to have a system in place to manage the risks associated with the work of contractors and this system is set out in the Management of Contractors policy.

## 2. Scope

2.1 The policy applies to all persons engaging or controlling contractors whose works could:

- i. adversely affect the health, safety or welfare of members of the University community;  
or
- ii. cause damage to the environment of the University; or
- iii. cause negative impacts upon the business operations of the University.

2.2 The policy applies to the management of contractor's activities, which include: installation, commissioning, inspection, service, maintenance, cleaning, repair, alteration, moving, decommissioning or removal of equipment, plant, services, building fabric or other articles at the University.

2.3 The policy also applies to parties carrying out construction, refurbishment, alterations to buildings or the fabric thereof, or demolition work. The Construction (Design & Management) Regulations 2007 apply to these activities and extensive other documentation and permissions are also required in such cases. See Appendix 1 for the application and requirements of the CDM Regulations.

## 3. Policy Statement and Objectives:

3.1 The University of Sussex will ensure that all works undertaken by contractors for or on its behalf are carried out in such a manner as to avoid, reduce or control all foreseeable risks to health and safety to a tolerable level. Essentially the University undertakes to select competent contractors that do not place University staff, students or visitors at risk and to have a management framework in place for contractors' activities.

3.2 The policy objectives are to:

- i. Safeguard members of the campus community against death, injury or occupational disease resulting from contractor activities;
- ii. Minimise the risks associated with contractor undertakings to a tolerable level;
- iii. Protect University of Sussex's property, environment and assets; and
- iv. Ensure, so far as reasonably practicable, that the University and contractors working for or on behalf of the University comply with relevant best practice standards and legislation.

## 4. Definitions:

4.1 **CDM Regulations** - According to the Construction (Design and Management) Regulations 2007 '*construction work*' means the carrying out of any building, civil engineering or engineering construction work. See Appendix 1 for information on the CDM Regulations.

4.2 **Contractors** are defined by the University as any employer, self-employed person or other party engaged or retained by the University, whether for remuneration or not, to provide a service or to perform particular tasks on its behalf on University controlled premises.

4.3 **Notifiable Construction Project** - a project is notifiable to HSE if the construction phase will be longer than 30 days, or 500 person days of construction work. Any day on which construction work takes place is counted.

4.4 **Permit-to-work (PTW)** - Safety instructions or procedures are adequate for most work activities, but some require extra care. A 'permit to work' is a more formal system stating exactly what work is to be done and when, and which parts are safe. A responsible person should assess the work and check safety at each stage. The people doing the job sign the permit to show that they understand the risks and precautions necessary. See Appendix 2 for more information on PTWs and the PTW Template

4.5 **The Reporting of Incidents, Diseases and Dangerous Occurrences Regulations (RIDDOR)** - Require employers to report work-related fatalities, serious accidents, over-seven day injuries, certain dangerous occurrences and some occupational diseases to the HSE within specified timeframes. The electronic report form and more information is available on the HSE's website: <http://www.hse.gov.uk/riddor/index.htm>

## 5. Responsibilities

### 5.1 Persons Commissioning Contractors

#### 5.1.1 All Contractors:

University employees (or their appointed agent) commissioning works on behalf of the University shall be responsible for ensuring that the contractors under their control:

- i. Are competent to undertake the works for which they are engaged;
- ii. Have been provided with suitable and sufficient information and instruction regarding the local hazards that exist in the areas in which they will be working;
- iii. Have received induction training detailing the University's arrangements for securing health and safety;
- iv. Are easily identifiable to other members of the campus community;
- v. Are aware of and comply with the University's management of contractors procedures.

#### 5.1.2 Construction Contractors:

In addition to the above, University employees (or their appointed agent) commissioning construction contractors shall be responsible for ensuring that:

- i. All construction works are approved in writing by the Director of Estates and Facilities Management (or his appointed deputy) before works are commenced;
- ii. All the contractors they engage are competent to undertake the work and can work without jeopardising their own or others' health and safety;
- iii. All the contractors they engage are provided with suitable and sufficient information regarding the University's Management of Contractors policy and procedures;
- iv. Sufficient time is allocated to the contractors under their control to plan and undertake works safely and in accordance with best practice standards;
- v. All works on building fabric and services are co-ordinated by a suitably competent person in accordance with this policy and any related procedures;

- vi. Where they or their school or units do not have sufficient competency to manage contractors, they engage a suitably competent person to manage these works on their behalf.

## **5.2 Director of Estates and Facilities Management**

The Director of Estates and Facilities Management shall be responsible for ensuring that:

- i. All applications to undertake construction works are considered by a suitably competent person;
- ii. Suitable contractors are identified and appointed in collaboration with the Procurement Office, where appropriate;
- iii. Mechanisms are established to ensure that all applications to undertake construction works at the University are considered in a timely manner;
- iv. All approved construction works are designed by competent persons;
- v. Where approved construction works are notifiable to the Health and Safety Executive (hereafter called notifiable projects) that relevant appointments have been made and that those appointed are competent to undertake their duties;
- vi. Approved construction works are managed by suitably competent people in accordance with relevant policies and procedures;
- vii. Arrangements are available to ensure that all contractors are visibly identifiable when working on University premises;
- viii. Sufficient competent persons, including Authorised Persons (see below), are appointed to ensure that construction works can be properly managed on behalf of the University;
- ix. Appropriate induction and code of conduct training is available for contractors;
- x. EFM staff and the contractors they engage are aware of the need to report any contractor-related incidents, including near misses, and that appropriate actions should be taken to prevent a recurrence, so far as is reasonably practicable;
- xi. Project boards are advised of the suitability of all appointments and the necessary resources and time required to plan and deliver notifiable construction related projects;
- xii. Where any duties relevant to notifiable projects cannot be met, for whatever reason, that these are reported to the relevant project board;
- xiii. The Health, Safety & Wellbeing Office (HSWO) is notified and given details of any projects or maintenance programmes of work which could have health and safety or fire safety implications for staff, students or visitors to the campus. HSWO staff must be involved at the design and planning phase, and kept informed of the progress and development of such works. The HSWO should also be invited to verify that buildings are safe for use after commissioning or major refurbishment.

## **5.3 Authorised Persons (Permits-to-Work)**

Authorised Persons (Permit-to-Work) shall be responsible for ensuring that:

- i. They are competent to identify and manage the risks associated with the work tasks requiring a 'permit-to-work'
- ii. All Permits-to-Work are issued, managed and monitored in accordance with University procedures;
- iii. Adequate notice periods (at least 48 hours) are in place for Permits relating to work in laboratory environments, to allow time for decontamination and monitoring activities to take place.

#### 5.4 University Representatives Managing Construction Works:

All persons overseeing / managing construction works on behalf of the University must be competent to do so. These 'competent representatives of the University' shall be responsible for ensuring that construction contractors under their control:

- i. Have submitted method statements of how they intend to carry out the work in good time before the work commences;
- ii. Have developed satisfactory risk assessment and risk management plans to enable them to undertake their works without unacceptable risk to the contractor, members of the campus community or any other persons that might be affected;
- iii. Have made adequate arrangements to provide or provide access to welfare facilities throughout their contract;
- iv. Are provided with relevant information on existing hazards present at the University. This will include the provision of asbestos information at the tender stage of all construction contracts. It will also include information on biological, chemical, radioactive and specialised equipment risks in contractors' work areas;
- v. Are issued with written authorisation to commence works before they start on site;
- vi. Are inducted before commencing work on behalf of the University;
- vii. Are monitored at intervals proportionate to the risks posed by the works they are undertaking;
- viii. Co-operate with the university to meet the requirements of this policy. Any failure to co-operate is to be reported to the Director of Estates and Facilities Management Division.

**Note:** Certain large construction projects may require oversight / management by a team of project managers; in these instances, it will be acceptable for the overall competency requirements to be met by the team rather than by each individual. Clear accountabilities should be established within the team to ensure that each of the above duties is assigned to a team member competent to undertake that element of management.

#### 5.5 The Health, Safety and Wellbeing Office:

The Director and the Health and Safety Advisers in the Health, Safety and Wellbeing Office shall be responsible for:

- i. Determining the minimum acceptable level for defining the health and safety competency of University representatives managing construction works and Authorised Persons (for permits-to-work);
- ii. Advising on the content of contractor's induction or other training offered by the University;
- iii. Monitoring and reviewing the effectiveness of this policy and all associated procedures, as necessary, to ensure that they remain valid and continue to ensure that the University meets its legal duties;
- iv. Reporting the significant findings of any monitoring or review exercise to the University's Health and Safety committee;
- v. Providing health and safety and fire safety advice to Estates and Facilities Management for planned projects and maintenance where contractors are employed;
- vi. Verifying that buildings or building areas are safe for use after commissioning or major refurbishment.

## 5.6 Project Boards

Project boards will be responsible for ensuring:

- i. Sufficient time and resources are made available to design, plan and undertake notifiable construction works in accordance with relevant legislation and best practice standards;
- ii. Signing the “Notification of Project” form to advise the Health and Safety Executive of notifiable construction works.

## 6. Operational Arrangements

To achieve the stated objectives of the policy the University will ensure that:

6.1 It only engages suitably safe and safety-aware, competent, financially viable contractors to undertake works on its behalf.

6.2 All contractors are provided with the necessary information and instruction to undertake their works in accordance with the objectives of this policy.

6.3 Suitable asbestos information is provided to all relevant contractors to enable them to plan and undertake their works without risk of exposure to asbestos fibres. Please refer to the separate University of Sussex Asbestos Management Policy:

(<http://www.sussex.ac.uk/hso/healthandsafety/policies>)

6.4 Individual contractors are provided with health and safety induction and/or information on H&S arrangements, depending on the size and complexity of the job and the experience of the contractor. Where relevant, acceptable conduct advice should also be given before work commences. Induction training or the safety orientation given to contractors should always be recorded.

6.5 Suitable and sufficient procedures are in place to gain effective communication, co-operation and co-ordination of all contractor works.

6.6 All contractors are visibly identifiable to other members of the campus community.

6.7 Contractors are only permitted to commence works (see caveat below at 5.6.8) once they have demonstrated that they have properly planned their works (by means of submitted method statements) and have - by means of submitted risk assessments - put appropriate measures in place to manage and deliver the works effectively with regards to health and safety. Work cannot commence until method statements and risk assessments have been approved by one of the following;

- i. the maintenance office;
- ii. the project office;
- iii. the health, safety and wellbeing office.

6.8 Contractors attending to carry out routine service and equipment maintenance in schools and services are managed by the relevant school and service managers. It is up to these individuals to decide on the nature and extent of information that must be submitted by the contractor prior to starting work. However, information about local risks that could affect the contractor’s H&S and the local H&S and emergency arrangements in place must always be given to all contractors on site.

6.9 Where works are undertaken directly for the University, that the contractor is supervised by a competent representative of the University and that this supervision is in accordance with this policy and related procedures.

6.10 Where contractors are engaged to carry out high-risk works, then those works shall be subject to a Permit-to-Work. Permits-to-work are required for the following:

- i. hot work such as welding;

- ii. confined space or vessel entry;
- iii. cutting into pipework carrying hazardous substances;
- iv. work that requires electrical or mechanical isolation (including isolation of fire alarm system);
- v. work on gas services;
- vi. work involving excavation;
- vii. work at height;
- viii. work on pressure systems;
- ix. work on or near asbestos containing materials (ACMs);
- x. work on lifts;
- xi. Work commissioned by EFM in areas where there are risks of exposure to biological, chemical or radioactive substances (at least 48 hours notice is required for Permits). Permits should also be issued for contractors commissioned to work in laboratory areas where there are physical risks such as high-powered electrical equipment or lasers.

Permits are not required for routine service and maintenance work that is carried out by specialist contractors who are familiar with the work and the environment. In these circumstances contractors must be informed of the local risks and given assurance that they will not be exposed to unexpected or unacceptable risks by means of a completed Laboratory Decontamination/Authorisation Certificate (see information at point 6.12 below and the template at Appendix Three);

6.11 Permits-to-Work are only issued and closed-out by suitably competent persons (Authorised Persons). There is a separate authorisation procedure and Permit-to-Work system for work on or near asbestos containing materials (ACMs). Please refer to the Asbestos Management Policy.

6.12 A certificate of Laboratory Decontamination/Authorisation is required before contractors are allowed to work in high-risk laboratory environments or on fixtures or equipment that may be contaminated by hazardous radioactive, biological or chemical agents, or which may pose specific physical hazards. If decontamination is not possible, or it is not possible to make the area/equipment sufficiently low risk, then contractors must be warned about the risks and given advice on how to protect themselves, eg by means of appropriate PPE, etc. See Appendix 3 for the Laboratory Decontamination/Laboratory Authorisation template.

6.13 Contractor performance is reviewed / audited by the Authorised Person on project completion.

## **7. Training**

All persons managing contractors should be aware of the contents and requirements of this policy and should be competent to discharge their contractual duties without endangering their own health and safety and the health and safety of others. Competency will be achieved by means of the following:

7.1 EFM managers will assess the health and safety training needs of their staff and provide, or work with the HSWO to facilitate, suitable training. Refresher training will be offered at appropriate intervals.

7.2 The HSWO will provide or advise on induction/training content for contractors. This should be delivered by a member of EFM or one of their approved consultants.

7.3 EFM managers will determine the competency requirements of the staff they contract to manage contractors and of the contractors themselves. Only consultants and contractors meeting these requirements will be employed.

7.4 Copies of professional qualifications of external project managers employed on a consultancy basis will be kept on file and monitored to ensure that these qualifications remain up-to-date.

7.5 Where the manager has identified an H&S training need for staff, their subsequent attendance at the training event will be mandatory.

7.6 The H&S Office will feed back information on attendance and, where relevant, the results of training assessments to appropriate EFM managers.

7.7 All training, whether delivered internally or externally, should be recorded on the personal records of the member of staff.

## **8. Reporting**

8.1 It is University of Sussex policy to report and record all work-related accidents and incidents (including 'near miss' events) occurring:

- i. on Campus;
- ii. at any location under University control;
- iii. to any member of University staff or the student body, wherever they are working.

This includes any incidents affecting or caused by contractors working on University sites.

8.2 The incident reporting system is electronic and can be accessed by the local H&S Coordinator and senior managers in EFM.

8.3 The investigation of serious or significant incidents is coordinated by the H&S Advisers in the HSWO and reports and recommendations are made to appropriate managers.

8.4 Trends of incidents may be reported to appropriate managers if they appear to indicate a failure of the management of health and safety in a particular area.

8.5 Certain incidents must be reported to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations within certain timescales. It is an offence if these incidents are not reported in time. The HSWO submit reports of RIDDOR reportable incidents to the HSE on behalf of the University and so they must be informed of any unplanned incident promptly. The HSWO can advise on reporting requirements. In addition to reporting serious incidents on the electronic reporting system, a verbal report should be made immediately to the H&S Office by phone.

8.6 The site of a serious incident may be treated as a crime scene by the police or the HSE and so should not be disturbed (although Campus users must be protected from situations of imminent danger). General access to the scene should be prevented until it can be photographed, investigated and permission is given to access and clear the site.

## **9. Inspection**

9.1 Where the work undertaken by a contractor could result in the health and safety of staff, students and/or visitors to the Campus being compromised, then the work and work site should be inspected by a member of Estates and Facilities, both throughout the course of the work and on its completion. Where unsafe conditions are found contractors should be advised by the member of EFM contracting their work that leaving the workplace in an unsafe condition is not acceptable and may lead to them not being eligible for future work;

9.2 When a building is handed back to the University after a major refurbishment or is ready to be commissioned after construction then a member of the HSWO should undertake an H&S inspection with the project team to ensure that the building is safe for occupation. This inspection should take place before the building is occupied.

## **10. Monitoring**

This policy is monitored by means of analysis of reported accidents and near misses and by inspection of contractors work and work sites. It is reviewed at regular intervals to ensure that the policy is meeting stated aims and objectives and is consistent with legislative and best practice demands. The policy will be reviewed and revised every three years, or sooner if monitoring activities indicate it is necessary or if there are significant changes to legislative and/or University requirements.

## **10. References and Supporting Documents**

The Construction (Design and Management) Regulations 2007 (CDM)

Health and Safety Executive Website: <http://www.hse.gov.uk/construction/index.htm>

## Appendix 1 - The Construction (Design and Management) Regulations 2007 (CDM)

### Application

- 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), decommissioning, demolition or dismantling of a structure;
- b. the preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation, 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 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; and
- 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,

'Construction work' does not include the exploration for or extraction of mineral resources or activities preparatory thereto carried out at a place where such exploration takes place.

### Duty Holders

- a. Clients - A 'client' is anyone having construction or building work carried out as part of their business.
- b. CDM coordinators - A 'CDM co-ordinator' has to be appointed to advise the client on projects that last more than 30 days or involve 500 person days of construction work. The CDM co-ordinator's role is to advise the client on health and safety issues during the design and planning phases of construction work.
- c. Designers - The term 'designer' has a broad meaning and relates to the function performed, rather than the profession or job title. Designers are those who, as part of their work, prepare design drawings, specifications, bills of quantities and the specification of articles and substances. This could include architects, engineers and quantity surveyors.
- d. Principal Contractors - A 'principal contractor' has to be appointed for projects which last more than 30 days or involve 500 person days of construction work. The principal contractor's role is to plan, manage and co-ordinate health and safety while construction work is being undertaken. The principal contractor is usually the main or managing contractor for the work.
- e. Contractors - Under the CDM Regulations a 'contractor' is a business which is involved in construction, alteration, maintenance or demolition work. This could involve building, civil engineering, mechanical, electrical, demolition and maintenance companies, partnerships and the self-employed.
- f. Workers - A 'worker' is anyone who carries out work during the construction, alteration, maintenance or demolition of a building or structure. A worker could be, for example, a plumber, electrician, scaffolder, painter, decorator, steel erector, as well as those supervising the work, such as foreman and chargehands.

**Summary of duties under the CDM regulations under CDM 2007**  
**Construction (Design and Management) Regulations 2007**

	<b>All construction projects (Part 2 of the Regulations)</b>	<b>Additional duties for notifiable projects (Part 3 of the Regulations)</b>
<b>Client (excluding domestic clients)</b>	<p>Check competence and resources of all appointees</p> <p>Ensure there are suitable management arrangements for the project welfare facilities</p> <p>Allow sufficient time and resources for all stages</p> <p>Provide pre-construction information to designers and contractors</p>	<p>Appoint CDM co-ordinator*</p> <p>Appoint principal contractor*</p> <p>Make sure that the construction phase does not start unless there are suitable welfare facilities and a construction phase plan is in place.</p> <p>Provide information relating to the health and safety file to the CDM co-ordinator</p> <p>Retain and provide access to the health and safety file</p> <p><b>(* There must be a CDM co-ordinator and principal contractor until the end of the construction phase)</b></p>
<b>CDM co-ordinators</b>		<p>Advise and assist the client with his/her duties</p> <p>Notify HSE</p> <p>co-ordinate health and safety aspects of design work and co-operate with others involved with the project</p> <p>Facilitate good communication between client, designers and contractors</p> <p>Liaise with principal contractor regarding ongoing design</p> <p>Identify, collect and pass on pre-construction information</p> <p>Prepare/update health and safety file</p>
<b>Designers</b>	<p>Eliminate hazards and reduce risks during design</p> <p>Provide information about remaining risks</p>	<p>Check client is aware of duties and CDM co-ordinator has been appointed</p> <p>Provide any information needed for the health and safety file</p>
<b>Principal contractors</b>		<p>Plan, manage and monitor construction phase in liaison with contractor</p> <p>Prepare, develop and implement a written plan and site rules (Initial plan completed before the construction phase begins)</p> <p>Give contractors relevant parts of the</p>

		<p>plan</p> <p>Make sure suitable welfare facilities are provided from the start and maintained throughout the construction phase</p> <p>Check competence of all appointees</p> <p>Ensure all workers have site inductions and any further information and training needed for the work</p> <p>Consult with the workers</p> <p>Liaise with CDM co-ordinator regarding ongoing design</p> <p>Secure the site</p>
<b>Contractors</b>	<p>Plan, manage and monitor own work and that of workers</p> <p>Check competence of all their appointees and workers</p> <p>Train own employees</p> <p>Provide information to their workers</p> <p>Comply with the specific requirements in Part 4 of the Regulations</p> <p>Ensure there are adequate welfare facilities for their workers</p>	<p>Check client is aware of duties and a CDM co-ordinator has been appointed and HSE notified before starting work</p> <p>Co-operate with principal contractor in planning and managing work, including reasonable directions and site rules</p> <p>Provide details to the principal contractor of any contractor whom he engages in connection with carrying out the work</p> <p>Provide any information needed for the health and safety file</p> <p>Inform principal contractor of problems with the plan</p> <p>Inform principal contractor of reportable accidents, diseases and dangerous occurrences</p>
<b>Workers/Everyone</b>	<p>Check own competence</p> <p>Co-operate with others and co-ordinate work so as to ensure the health and safety of construction workers and others who may be affected by the work</p> <p>Report obvious risks</p>	

## Appendix 2. Permit to Work System Guidance and Template

- Permits to work are issued where there are significant risks to the health and safety of the contractors undertaking the work or to others, either in the work environment or affected by the work.
- They should only be issued by personnel who understand the nature of the risks and who can brief the contractors on the special arrangements specified by the permit.
- When contractors are working alone under a permit-to-work then there should be an agreed on-going checking procedure to ensure that the contractor has not fallen ill or been injured. Sometimes this is an arrangement between the contractor and their employers; in other circumstances a University employee or agent of the University will have to undertake the checks.
- When the permit-to-work has not been closed-out at the end of the working day contractors should be contacted to establish when they are due to finish and when the work will be completed and/or the workplace left in a safe state. Arrangements should be in place to allow the contractor to submit his permit to an agent of the University when they have finished work and the work area should be checked before general access to it is allowed
- Some activities, eg hot work require the work location to be checked one or more hours after the work has finished and the person closing-out and cancelling the permit should undertake these checks, or ensure they are carried out.

See the Permit-to-Work template for more detailed guidance.

### Key principles in permit to work systems

- The issue of a permit does not, by itself, make a job safe;
- Roles and responsibilities - it should be clear who is in charge, and who does what - with no important gaps or overlaps;
- If the job cannot be finished in one shift, ensure that it will be left in a safe state and that clear instructions are available for the next shift;
- The Permit should contain all relevant information, be correct, and presented in a suitable format;
- It should communicate all relevant information (including hazards and controls) to all personnel involved (contractors and others affected by the work);
- If there are a number of permits, they should be displayed at an appropriate location, in a systematic arrangement that enables staff to check which equipment is e.g. isolated or undergoing maintenance;
- Links should be made between related permits - consider simultaneous tasks and interdependent activities;
- The permit system should have a process for hand-over of plant on completion of work;
- All users should be trained in the PTW system and information provided to other persons affected by it;
- Arrangements should be in place to manage non-compliance;
- The management of the permit to work system should be reviewed at specified intervals or as the result of significant change or failure of the system.

# Permit To Work

Retain this top copy in file, give bottom copy to contractor

## Section 1 Contractor details and summary of work

Reference Number		Date: dd/mm/yy	Issue time hh:mm	Expiry time: hh:mm
Planned Work (summary)				Mobile:
Company				Accredited contractor? Y / N

## Section 2 Risks

If not approved contractor then contact EFM Health & Safety Coordinator

Risks from work (circle)	Details & control measures (see checklists overleaf)
Work alone	
Hot work such as welding	
Confined space or vessel entry	
Work at height	
Work that requires electrical or mechanical isolation	<i>NB. The contractor is responsible for ensuring that all equipment is dead before commencing work</i>
Work on gas services	
Work involving excavation	
Cutting into pipework carrying hazardous substances	
Contact with asbestos containing materials (ACM)	<i>Check asbestos register and complete separate Permit for work with ACM. Refer to the U of S Asbestos Management Policy for guidance</i>
Other (specify)	

Laboratory Associated Risks	Details & control measures
'Wet' laboratory	
Radiation Area <sup>1</sup>	
Containment Level 2 or Level 3 Laboratory <sup>2</sup>	
Liquid nitrogen facility <sup>3</sup>	
Ancillary Building <sup>4</sup>	
Laser laboratory <sup>3</sup>	
Magnetic fields – NMR/MRI <sup>3</sup>	
Workshop <sup>3</sup>	
Hazardous materials stores e.g. chemical, compressed gas, liquid gases <sup>3</sup>	

<sup>1</sup> Refer to local Radiation Protection Supervisor  
<sup>2</sup> Refer to local Biological Safety Officer  
<sup>3</sup> Refer to local H&S coordinator  
<sup>4</sup> Refer to Ancillary Building Manager

Decontamination/authorisation form must be signed and attached to permit.

## Section 3 Issue, clearance and cancellation

Issue and clearance:	A. Authorised Person	B. Contractor (person in charge)
<b>3.1</b> Before starting work	The risk assessments and method statements for these works have been checked by the issuer. The issuer has checked that the relevant precautions listed on the reverse of this form are in force. Permission is therefore granted for these works to commence.	I hereby declare that no other work other than that stated above will be carried out and all relevant precautionary measures will be adhered to. I accept responsibility for undertaking the necessary checks to ensure my own safety and the safety of the operatives under my control.
Print name and Sign:		hh:mm
<b>3.2</b> On finishing work	The works covered by this Permit are <b>Complete / Incomplete</b> and all operatives have withdrawn.	Work is <b>Complete / incomplete</b> , the work area has been made safe and all operatives have withdrawn.
Print name and Sign		hh:mm
<b>3.3</b> Check after completion of work.	The area has been checked and has been left in a safe condition. No operatives are now working in this area. The Permit is now cancelled	The area has been checked and has been left in a safe condition. No operatives are now working in this area.
Print name and Sign:		hh:mm

**PLEASE NOTE** By signing the boxes in S.3.2 & S.3.3 the contractor confirms that, to the best of his knowledge, there has been no accident or other incident, nor any health & safety problem, during or resulting from the work carried out and that the workplace has been left in a safe state. If an incident has occurred, it has been reported to EFM and/or the HSWO and the issues arising from it have been addressed.

# Safety requirements

## Permit To Work overleaf must be completed in all cases

Complete relevant checklists below: Check box or write N/A

### Procedure:

The Authorised Person (AP) reviews the contractors risk assessments and method statements. Once these are accepted:

1. The AP obtains the Permit Number from the EFM Helpdesk (ext. 7777)
2. The AP, together with the Contractor / DSU Supervisor checks the required precautions listed below and, when satisfied that suitable and sufficient risk controls are in place, completes Sections 1 and 2 and Section 3.1A.
3. The Contractor / DSU Supervisor signs Section 3.1.B to acknowledge acceptance of the permit and safety information.

4. The top copy of the Permit is retained by the AP and the bottom copy is issued to the Contractor for display on site
5. The bottom copy remains posted on-site on site until the work is complete.
6. On expiry of the Permit or completion of the works the DSU / Contractor's supervisor ensures that work ceases and returns his copy of the permit to the AP, indicating whether the work is complete or not at S.3.2B
7. The AP inspects work site and cancels permit by signing S.3.3A
8. The AP sends the cancelled Permit to the EFM Helpdesk for filing

### Permit Precautions for Hot Work:

Necessary Precautions	Necessary Precautions
<input type="checkbox"/> Post warning signs. <input type="checkbox"/> Isolate smoke/heat detectors in work area at control panel. <input type="checkbox"/> Cover smoke detectors with dust covers. <input type="checkbox"/> Arrange to observe & monitor the work and surrounding areas for dangerous sparks and fire. <input type="checkbox"/> Area is adequately ventilated <input type="checkbox"/> Cutting / welding equipment is in good repair <input type="checkbox"/> Clear area of all loose combustible material. <input type="checkbox"/> Cover wooden flooring with sand or other non-combustible material. <input type="checkbox"/> Ensure all flammable or combustible materials, plant, etc has been relocated to a safe distance from the operation or is protected by flame/heat proof covers. <input type="checkbox"/> Consider if confined space permit is required <input type="checkbox"/> Fire extinguishers are available and operatives have been trained in their use <input type="checkbox"/> Screen welding, cutting or grinding work with non-combustible material. <input type="checkbox"/> Explosive atmosphere in work area has been eliminated	<input type="checkbox"/> Remove combustible material from other side of wall/partition (danger from conducted heat) <input type="checkbox"/> Ensure any floor or wall opening or open mesh flooring in close proximity to the cutting and welding operation has been covered tightly. <input type="checkbox"/> Do not leave worksite unattended during teabreaks, etc <input type="checkbox"/> Turn off fixed gas supply or protect piping <input type="checkbox"/> Gas cylinders have flash back arrestors and regulators fitted <input type="checkbox"/> Secure gas cylinder in upright position <input type="checkbox"/> Smoke/fire detectors must be uncovered immediately after work is completed and be reactivated at the control panel. <input type="checkbox"/> The work area should be inspected to check that there is no increased risk of fire one hour after the work has stopped. <input type="checkbox"/> Other precautions (specify) <b>Roof Work:</b> <input type="checkbox"/> Site boiler gas cylinders at least 3 metres from burners <input type="checkbox"/> Non-combustible, insulating base for tar boiler (essential for use on roof)

### Precautions for Electrical Service Work:

Necessary Precautions	Live Working Checks – each of the following must be true
<input type="checkbox"/> All electric equipment identified <input type="checkbox"/> All equipment tested and made dead <input type="checkbox"/> test equipment is calibrated <input type="checkbox"/> Earthing provided on low-voltage equipment <input type="checkbox"/> All personal safety equipment required is provided <input type="checkbox"/> The work area is segregated and warning notices are posted <input type="checkbox"/> Arrangements are in place to prevent accidental energisation <input type="checkbox"/> Actions to be taken in emergency situations <input type="checkbox"/> Other (specify)	<input type="checkbox"/> It is unreasonable in all instances for the work to be carried out dead <input type="checkbox"/> Suitable precautions can be taken to prevent injury  <input type="checkbox"/> Written authorisation has been given for live working from the Director of EFM or appointed Deputy:  Sign: _____ Date: _____

### Precautions for Gas Service Works:

Necessary Precautions	Necessary Precautions
<input type="checkbox"/> Gas Safe Registration details <input type="checkbox"/> Details for personnel to be used and their training / experience <input type="checkbox"/> Steps required to safely purge any gas from the gas fittings identified <input type="checkbox"/> Steps to be taken to avoid the risk of explosion	<input type="checkbox"/> Identification of all gas testing required <input type="checkbox"/> All personal safety equipment is available <input type="checkbox"/> Segregation of work area <input type="checkbox"/> Warning notices posted <input type="checkbox"/> Actions to be taken in emergency situations <input type="checkbox"/> Other:

### Excavations:

Necessary Precautions	Necessary Precautions
<input type="checkbox"/> Shoring method identified <input type="checkbox"/> Details of access / egress <input type="checkbox"/> Fencing <input type="checkbox"/> University supplied information regarding underground services where available	<input type="checkbox"/> Means of locating / avoiding existing services <input type="checkbox"/> Plant and equipment records available on site <input type="checkbox"/> Confined spaces Permit to Work <input type="checkbox"/> Details of all personnel and training records <input type="checkbox"/> Other:

# **Safety Information for Contractors**

## **(to be issued with permit)**

### **Procedure:**

#### **Security**

You will each be issued with an identification badge that must be worn at all times and returned to reception before leaving.

#### **Fire / evacuation**

Familiarise yourself with the fire escape routes. To activate the alarm in the event of a fire press the call point and then dial 3333 from any internal phone or 01273 873333 from a mobile, which is the University's emergency number, to give details of the emergency once you are in a place of safety. The alarm is a loud siren. Exit the building by nearest safe exit, indicated by green fire exit signs. Do not stop to collect belongings. Do not use lifts. Assemble at nearest assembly point. Obey instructions given by fire wardens and fire marshals. Do not leave the assembly area nor re-enter buildings until the fire and rescue service or person-in-charge announces that you may do so.

#### **Smoking**

Smoking is absolutely prohibited within University buildings.

#### **First Aid**

There are a number of qualified first aiders. Their attention is required for all injuries, no matter how minor. Ask a member of staff to summon a first-aider, or else dial the emergency number 3333 as above.

#### **Accident and Near Miss Reporting**

All accidents and incidents, including near miss incidents, must be reported to the University as soon as possible. You should report the accident/incident to Estates, either through helpdesk (ext 7777) or the project manager/supervisor, or to the local health and safety coordinator.

#### **Queries / Problems / Complaints**

Any queries, problems or complaints in relation to health & safety must be reported to the local H&S coordinator and to EFM. The phone number for EFM is 7777.

**Appendix 3.**

**Decontamination/Laboratory Authorisation Certificate**

**Retain a copy of this Certificate**

This certificate should be completed by the local safety coordinator (if they have experience of relevant technical issues), the safety officer or person in charge of the laboratory area. The certificate is only valid at the date and time of issue, unless the item or area is taken out of use.

**Name:**

**Position:**

**Describe work to be carried out by contractor:**

**Date work is to be carried out:**

**State the area or item of equipment to be accessed by/worked on by the contractors. A separate form should be completed for each area or item of equipment:**

<b>Describe the Area:</b>	<i>Be precise and give boundaries</i>
<b>Identify the Equipment</b>	<i>Identify equipment, give location and serial number</i>

<b>Identify the Hazards</b>	<b>✓*</b>	<b>Give details</b>
Wet' laboratory (chemical or biological risks)		
Radiation Area		
Containment Level 2 or Level 3 Laboratory (high-risk biological agents)		
Liquid nitrogen facility		
Ancillary Building		
Laser laboratory		
Magnetic fields – NMR/MRI		
Workshop		
Hazardous materials stores e.g. chemical, liquid gases		
Other		

<b>Identify the necessary precautions and confirm if in place</b>	<b>✓*</b>	<b>Give details</b>
Safety briefing and information given to contractor		
Work with hazardous material has ceased		
All hazardous material has been removed from equipment or work area		
Flammable/toxic/other gases shut off		
Hazardous equipment isolated or access prevented		
Clean/disinfect/monitor sink and drains		
Clear benches and clean/disinfect/monitor		
Clear/clean/disinfect/monitor equipment		
Specific areas to be avoided or any additional special instructions		
PPE required		

**Declaration:**

The item(s) of equipment and/or area(s) of laboratory stated above have been, to the best of my knowledge and capability, decontaminated and/or made safe. They have also been taken out of use (*delete clause if not applicable*).

**Responsible Person to sign:**

**Contractor to sign (before starting work):**

**Date:**

**Date:**

**Time:**

**Time:**