

Management of Health and Safety for Work and Services Contractors	
Enabling Policy Statement; Executive Owner; Approval Route:	Our Safety - Chief Operating Officer - Compliance Committee
Associated Policy Statements:	N/A
Authorised Owner:	Director of Health and Safety
Authorised Co-Ordinator:	Health and Safety Manager (Professional Services)
Effective date:	8 December 2022
Due date for full review:	7 December 2025
Sub documentation:	Contractor Management Process Outlines Contractors Green Book

Approval History

Version	Reason for review	Approval Route	Date
1.0	Reviewed and updated (including in accordance with new Policy Framework). Replaces Management of Health and Safety for Work and Services Contractors Policy (Version 1, dated March 2017).	Compliance (Health, Safety and Wellbeing) Committee	8 December 2022

1. Purpose

The University has a duty to assess the risks posed to the health and safety of its employees and to anyone else who may be affected by its activities. Significant risks identified by this process must be reduced to a tolerable level. This duty extends to managing the risks associated with work undertaken for the University by contractors it engages. This Procedure establishes the framework for managing all contractor activities at the University.

2. Scope and Exceptions to the Procedure

This Procedure applies to all locations where contractors are undertaking works on behalf of the University.

The Procedure applies to all persons engaging or controlling contractors whose work could:

- Adversely affect the health, safety, or welfare of members of the University community and others who are on University premises.
- Cause damage to the environment and the reputation of the University.
- Cause negative impacts upon the business operations of the University.

Specific areas of the procedure will apply solely to the management of contractors undertaking construction works on behalf of the University

3. Definitions and Terminology

This Procedure uses the definition of Construction as referenced in the Construction (Design and Management) Regulations 2015 where *Construction work* – means the carrying out of any building, civil engineering or engineering construction work and includes:

- The construction, refurbishment, 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.
- 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.
- 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.
- 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.
- 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 or extraction is carried out.

Work and Service Contractors – an individual person or firm that undertakes a contract to provide

materials or labour to perform a service or to do a job. Any individual or organisations that carry out construction work (including building, altering, maintaining, or demolishing) and any person or organisations that manages this type of work or employs or engages construction workers is a contractor.

Permit-to-Work (PtW) – Permit-to-work is a documented procedure that authorises certain people to carry out specific work within a specified timeframe. It sets out the precautions required to complete the work safely based on a risk assessment. It describes what work will be done and how it will be done; the latter can be detailed in a 'Method Statement'.

Authority-to-Access (AtA) – is a process by which access is controlled to a designated area or site location due to inherent risks within that location for routine tasks and maintenance.

Competency – a person who has the skills, knowledge, attitude, training, and experience to undertake the role effectively.

Training – is equipping staff, students (and others where the University has a duty of care) with relevant skills to deal appropriately with a given health and safety situation.

Briefing – is informing all necessary people of relevant knowledge and information in relation to Health and Safety to ensure safe completion of their task.

Training and briefing will be made available in a range of formats according to the needs of the trainee and different groups of staff, students, and others.

4. Procedural Principles

4.1. Commitment

The University will ensure:

- It meets its statutory obligations in respect of the management of contractors.
- Members of the campus community and others are safeguarded against death, ill-health, injury, or occupational disease resulting from activities undertaken by contractors it engages.
- The risks associated with contractor undertakings are reduced to a level that is as low as reasonably practicable.
- The safe and effective management of contractors working on behalf of the University.
- Everyone is aware of their roles and responsibilities.
- The protection of the University's property, environment, assets, and reputation.

4.2. Arrangements

To meet the above objectives, the University will:

- Confirm 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 reasonably foreseeable risks.
- Ensure that all necessary works and maintenance contracts are put through an effective procurement and tendering processes, such that the University only engages suitably competent, financially viable contractors. Basic competence can be evidenced through registration with a Safety Schemes in Procurement (SSIP) approved body.
- Ensure all contractors are provided with the necessary information and instruction to undertake their work in accordance with the objectives of this procedure, including completing the requirements of the contractors 'Green Book' safety and site induction.
- Implement performance standards to ensure contractors work is in accordance with

University prescribed health and safety requirements and general behaviours when working on behalf of the University.

Note: Performance standards include any requirements specified, including within contractor Construction Design Management (CDM) documentation and the University's Asbestos Management Plan.

- Instigate suitable and sufficient procedures for effective communication, co-operation, co-ordination of all contractors works; to be discussed and agreed between the contractors and the Project or Contract Manager
 - Implement effective arrangements to ensure all contractors are visibly identifiable to other members of the University community. They will be issued with Contractor (temporary) ID passes when they sign in at Estates and Facilities.
 - Ensure that contractors are only permitted to commence work once they have meticulously planned their tasks and put appropriate measures in place to manage and deliver the work effectively with regards to health and safety, and quality of product. This will be assessed following a check of the works' Risk Assessments & Method Statements (RAMS) and when necessary, as part of any PtW requirements.
 - Ensure that where works are undertaken directly for the University, that the contractor is supervised by a competent Project or Contract Manager, and that this supervision is in accordance with this Procedure, and in line with other University safe systems of work. This will be agreed and implemented by the University Project Manager or assigned contract lead.
 - Ensure that all works that requires intervention, fixing into or alteration of or to the built fabric, or engineered systems or services including external areas, will be required to be planned, managed, and delivered via the Directorate of Estates and Facilities.
 - Ensure that where contractors are engaged to carry out high-risk works, then those works will be subject to a PtW and or AtA as needed. Additional control measures will be implemented following a discussion of the work activities with an appropriate Authorised Person, to supplement those control measures that are already detailed in the RAMS. The use of a PtW or AtA will be proportionate to risk.
- Note: PtW and AtA will only be issued by suitably competent person(s) (Authorised Persons - APs), who have the competency to critically assess provided RAMS, ensuring that works are carried out to recognised industry standards and within established safe systems of work.
- Review and audit contractor performance on project completion or at set periods as part of a service contract by the Project Manager or the assigned Estates and Facilities Authorised Person.
 - Review contractor management arrangements periodically, or whenever there are changes in relevant legislation, guidance, or University activities.

4.3 Surrey's Construction Work Processes

The University has clearly defined construction work processes (appendix 1 Contractor Management Process Outlines) and Pre-Construction Information (PCI) documentation that must be followed and completed. The purpose of these documents is to:

- Ensure it fulfils its statutory responsibilities in relation to the Construction (Design and Management) Regulations 2015 and to ensure that risk reduction and risk management for a project is carried out at the appropriate stage of a project's development.
- Ensure that an appropriate PCI document is completed for each construction project and to co-ordinate contractors' works as safely as possible.
- To clearly identify who is responsible for completing any necessary documentation for each part of a construction project.
- To have the right information about the risks of any project or construction work and to ensure these risks are known and appropriately managed. To ensure adequate co-ordination of a project between contractors and other key stakeholders.

4.4 Roles and Responsibilities

All responsibilities can be delegated, unless otherwise stated, but it remains the responsibility of the named roles to ensure they are completed in accordance with this Procedure and that those they delegate any responsibility to, is adequately competent to fulfil the responsibility.

4.4.1 Deans and Directors have overall responsibility for:

- Implementing the requirements of this Procedure, including implementing a system for the effective management of contractors engaged within their area of responsibility.
- Appointing Competent Person(s) to assist them with the execution of their responsibilities and agreeing the arrangements for their involvement in any works, along with such other measures necessary for the execution of their duties.
- Formally identifying the roles and responsibilities of their staff in respect of the day-to-day management of contractors and contracted works.
- Applying for such resources as are appropriate to discharge the University's statutory obligations and requirements of this procedure.
- Periodically reviewing, with Competent Person(s) (and other relevant staff), the effectiveness of the above management arrangements.

Note: Overall responsibility for most contracted works will sit with the Director of Estates and Facilities, however, as this Procedure applies to all work and service contractors, the same responsibilities will also apply to Deans and other Service Directors, where such contractors are engaged to undertake work on behalf of that Faculty/Directorate.

Contracted works under the management and supervision of Estates and Facilities

4.4.2 Head of Projects (Planning and Development) is responsible for:

- All applications to undertake construction works are considered by a suitably competent person(s). The Head of Projects will be responsible for approving the appropriate SSIP body and will set out the competency requirements for those suitably qualified competent persons.
- Arrangements are established to ensure that all applications to undertake construction works at the University are considered in a timely manner.
- That all approved construction works are designed by competent persons. 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.
- Approved construction and engineering works are managed and carried out by suitably competent persons in accordance with other University Procedures, in particular any necessary tendering and procurement processes.
- Arrangements are implemented to ensure that all contractors are visibly identifiable when working on University premises.
- Sufficient competent persons, including Authorised Persons (see below), are appointed to ensure that construction works can be properly managed on behalf of the University.
- Where any duties relevant to notifiable projects cannot be met, for whatever reason, these are reported to the Director of Estates and Facilities.
- All contractor works under the control of Planning and Development are appropriately planned and organised, engaging with all necessary University stakeholders to ensure the least amount of disruption to essential services. Where necessary, any disruption to essential University services will be adequately controlled or mitigated in relation to the potential impact to the University.

4.4.3 Head of Maintenance Services is responsible for ensuring:

- All contractors engaged by Estates and Facilities Maintenance or who perform contracted

services to the University under the direct control of Estates and Facilities Maintenance, are sufficiently competent to do the work they are engaged to perform. Where necessary they are put through the University's tendering and procurement processes or have other adequate checks performed prior to engagement.

- There are adequate safe systems of work in place for the control of contractors, including a PtW system.
- Sufficient competent person(s), including Authorised Persons (see below), are appointed to ensure that work can be properly managed on behalf of the University.
- There are competent person(s) who critically assess RAMS, to ensure contractors are performing work to all necessary standards. Including that these competent persons(s) are identified within any established safe system of work (including any PtW system).
- Sufficient resources are available for the review of the contractor's quality of work and work practices, including where necessary performance reviews.
- Implementation of the contractor management system, which ensures there is control over contractor's work on site.
- Implementing a system for the adequate site induction of contractors, which ensures all essential site safety information is available prior to coming onto site or performing any work on site.
- All contractor works under the control of Maintenance Services are appropriately planned and organised, engaging with all necessary University stakeholders to ensure the least amount of disruption to essential services. Where necessary any disruption to essential University services will be adequately controlled or mitigated in relation to the potential impact to the University.

4.4.4 Principal Designer and CDM Manager is responsible for:

- Supplying 'Client' Pre-Construction Information to designers and contractors, offering CDM strategic guidance to the project team, and ensuring the 'Principles of Prevention' and risk management are implemented with any residual risk captured.
- Liaising with the Principal Contractor and ensuring they receive Pre-Construction Information from the University (as CDM Client).
- Preparing F10 notifications on behalf of the University (as Client), reviewing the submission of the contractors 'Construction Phase Plan' to ensure that it complies with relevant industry standards.
- Ensuring that they receive, from the contractor, Health and Safety File information, Operations and Maintenance manuals (O&M's) "as built" drawings, to include residual risk for the Health and Safety File, ensuring that this information is passed on to the relevant stakeholders within the University.
- Checking that Principal Contractors are undertaking their duties under the CDM Regulations and conducting their work in accordance with both industry and University requirements.
- Offering guidance and advice relating to the CDM Regulations, including written guidance on university performance standards to Project Managers, University Stakeholders and, where necessary, external third parties.

Note: Large construction projects or work in more complex environments may require a collective approach, where one individual may not have the necessary skill set or to be able to carry out these requirements on their own. In this situation performing these duties may be undertaken by multiple competent person(s) on behalf of the Principal Designer, but this must be carried out with their oversight. Clear accountability 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.

4.4.5 Project Managers are responsible for:

- Developing satisfactory risk management plans to enable them to undertake their work without unacceptable risk to their contractor(s), members of the campus community or any other persons which the work might affect.
- Facilitating the provision of adequate arrangements to provide, or gain access to, welfare facilities throughout their contract to engaged third parties.
- Ensuring contractors are provided with relevant information on existing hazards present at the University in line with established safe system of work, and in accordance with other relevant procedure documentation, particularly the provision of asbestos information at the tender stage of the works.
- Issuing written authorisation to commence works before they start on site.
- Ensuring contractors complete induction before commencing work, including completing the necessary 'Green Book' confirmation form.
- Ensuring contractors are monitored/supervised at intervals proportionate to the risks posed by the works, and in line with other relevant procedures and contract performance requirements, including in relation to any PtW system.
- Ensuring contractors co-operate with the University to meet the requirements of this Procedure and Our Safety Policy, with any failure to co-operate being reported either to the Head of Projects or Head of Maintenance Services.

Note: Large construction projects may require oversight and 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 an individual. Clear accountability 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.

Note: Other roles within the Estates and Facilities Directorate will have specific duties which contribute to the effective management of contractors (e.g., Building Surveyor, Quantity Survey and Design Manager, etc.). Their responsibilities are identified within the job specification.

4.4.6 Staff Commissioning Contractors (Construction Contractors) in additions to the above, any University employee commissioning construction contractors shall be responsible for:

- Ensuring that the construction work is approved in writing by Estates and Facilities Head of Projects, before the work commences.
- That all construction work projects are conducted through the Estates Facilities Projects Team or an approved third party and carried out through the CDM process.
- All contractors they engage are provided with suitable and sufficient information regarding the University's Management of Contractors procedures and health and safety needs.
- Sufficient time is allocated to the contractors under their control, to plan and undertake the work safely, and in accordance with industry best practice standards.
- Ensuring all work on building fabrics and services is coordinated by a suitably competent person(s) in accordance with this procedure and any other related procedures.

Note: In the situation where an appointed agent has been engaged to manage external contracts or contractors, it is the responsibility of the University stakeholder commissioning the appointed agent, to make them aware of the requirements of this procedure and to ensure it is followed.

4.4.7 Contractors are responsible for:

- Ensuring that they and all those who work for them, including other third-party companies they have engaged, complete the Contractors Green Book induction.

- Ensuring that all works are completed as per the requirements in any PCI documentation, construction phase plan or as requested by Surrey competent person(s), and as specified within any AtA or PtW requirements.
- Completing all necessary RAMS and supplying them to their University point of contact within a reasonable timeframe, and before the work is due to start.
- Requesting local information from the University for any potential risks to themselves, to those that they employ or to third parties, in particular any asbestos information for their area of work.
- They must adhere to the requirements of any other safety procedures, notably the Management of Asbestos Procedure. **Note:** Contractors' point of contact at the University should bring to the attention of the contractor any procedures they must be aware of and provide them with copies to read, so they understand their obligations.
- Ensure that any contractors they employ or engage to work for them, have the necessary competencies, knowledge, and skills to complete the work to the University standards and ensuring good safety practices are met.
- Make the client aware of any client duties they have under the current CDM regulations.
- Plan, manage, and monitor all work carried out by themselves, their workers or any third party they engage, considering the risks to anyone who might be affected (including Surrey University staff, students, and visitors). Ensuring that adequate measures are put in place to protect all persons that could be impacted from any reasonably foreseeable risks.
- Ensure they do not start work on site unless reasonable steps have been taken to prevent unauthorised access, and to comply with any requests to maintain or improve site security.
- Coordinate their work with any other parties involved in the project, including University stakeholders, as necessary.
- Provide appropriate supervision, information, and instructions to any workers under their control.
- Ensure adequate welfare provisions have been organised with their point of contact at Surrey University.

4.4.8 Director of Health and Safety is responsible for:

- The provision of advice and guidance on the application of legislative requirements.
- Where necessary, liaising with the enforcement authorities.

5. Governance Requirements

5.1. Implementation: Communication Plan

This procedure will be available via the University procedures webpages. This Procedure is also available on the University Health and Safety Intranet site and on the Estates and Facilities Contractor Management pages.

Relevant Health and Safety Committees and EF/CS Committees will be notified, and information disseminated through line management. Faculty Health and Safety Committee will also be informed, as required.

This Procedure is also referenced and linked to via the Staff Health and Safety Handbook.

This Procedure will be brought to the attention of stakeholders via a range of media, including:

- SurreyAlert
- SurreyNet
- Induction Training

5.2. Implementation: Training Plan

Any staff member managing contractors or service contracts must be competent to manage contractors' dependent on the extent and level of work that is being carried out. Online training will be implemented detailing the roles and responsibilities of staff who are required to manage contractor work on site, this will be implemented after the launch of this procedure with a target date of 01/04/2023.

All contractors must be assessed as competent prior to being engaged and coming onto site for the first time. They must also have passed the Green Book Induction questionnaire on their first visit; this induction process should be refreshed for all contractors annually.

5.3. Review

The Estates Facilities Head of Projects, Estates Facilities Head of Maintenance, Principal Designer and CDM Manager, and Director of Health and Safety will monitor for required changes and updates. Minor changes will be reviewed by the Estates Facilities and Commercial Services Health and Safety Management Group and approved by the Compliance (Health, Safety and Wellbeing) Committee. Major reviews will also be reviewed by the Estates Facilities and Commercial Services Health and Safety Management Group and Compliance Management Group, prior to submission to Compliance (Health, Safety and Wellbeing) Committee for approval, and if required, noted at Executive Board.

This procedure will be reviewed every three years or in line with relevant changes in legislation, if sooner. The Health and Safety Consultative Committee will be consulted during the review process, as required.

5.4. Legislative Context and Higher Education Sector Guidance or Requirements

5.4.1. Applicable Legislation

This Procedure is in accordance with the requirements of:

- The Health and Safety at Work Act 1974.
- The Management of Health and Safety at Work Regulations 1999.
- The Construction (Design and Management) Regulations 2015 (CDM).
- The Control of Asbestos Regulations 2012.
- Reporting of Injuries, Diseases, and Dangerous Occurrences Regulations 2013.

5.4.2. Legislative context

This Procedure sets out to comply with the required 'duty of care' placed upon the University. Under Health and Safety Law a required 'duty of care' is generated between organisations and individuals when carrying out activities that could foreseeably cause harm. The duty is owed through the employer-employee relationship and extends to assurance that services provided by others (like contractors) are undertaken safely. With the level of assurance provided commensurate with the risk of the activity undertaken. In addition, anyone carrying out an activity owes a 'duty of care' to anyone who may be put at risk by said activity, such as students, staff, and visitors.

This duty of care cannot be delegated away; instead, the act of delegation must be accompanied by a realistic and workable system of monitoring or supervision to ensure that the delegated task has been adequately implemented (i.e., the responsibility is not met by giving directions; it is met when those directions have been confirmed as carried out). The result is a cascade of delegated accountability that runs throughout the organisation via the line management network, accompanied by a system of monitoring, supervision, and feedback.

It is a requirement of the University, as the insured body, to comply with all regulations imposed by any competent authority and take all reasonable precautions to prevent or minimise accidents,

loss, injury, or damage. In addition, the University will comply with appropriate guidance and recommendations of relevant professional bodies, wherever reasonably practical.

5.5. Sustainability

Although this procedure has no direct impact on sustainability and establishes the organisational control to ensure the safety of contractors and other parties on Surrey managed sites, it is noted that there is an indirect link from this procedure to the impacts of contractor services. Contractor activities can affect the University’s ability to meet its sustainability goals, therefore all contractor works and projects must consider sustainability in its design and implementation, including the waste products produced by these works or services.

6. Stakeholder Engagement and Equality Impact Assessment

- 6.1. An Equality Impact Assessment was completed on **05/10/2022** and is held by the Authorised Coordinator.
- 6.2. Stakeholder Consultation was completed, as follows:

Stakeholder	Nature of Engagement	Date	Name of Contact
Governance	Development and creation of this Procedure v1.0.	9 September 2022	Andrea Langley, Regulatory Compliance Manager.
Sustainability	Development and creation of this Procedure v1.0.	9 September 2022	Andrew Harmen Energy Manager.
Members of the Compliance Management Group	Development and creation of this Procedure v1.0.	9 September 2022	Members of this Group.
Equality, Diversity & Inclusion	Development and creation of this Procedure v1.0.	9 September 2022	Jo McCarthy-Holland, Equality & Diversity Advisor.
Members of the EF/CS Health & Safety Management Group	Development and creation of this Procedure v1.0.	9 September 2022	Members of this Group.
Health and Safety Consultative Committee	Development and creation of this Procedure v1.0.	9 September 2022	Members of this Committee.