



UHSP-28a Management of Contractors



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1. Objective

The University of Leicester will take all reasonable steps necessary to ensure that the risks associated with the use of contractors are as low as is reasonably practicable, complying with:

- The Health and Safety at Work etc Act 1974
- The Management of Health and Safety at Work Regulations 1999
- Construction (Design and Management) (CDM) Regulations 2015
- The Workplace (Health, Safety and Welfare) Regulations 1992

2. Scope

The University will take all reasonable steps to ensure that only competent contractors are procured for employment and work in such a way as not to endanger our students, employees, temporary workers, members of the public, themselves and/or the environment.

This procedure applies to all University sites and offsite activities under its controls and no work shall be sub-contracted without the express permission from the person in control of works. All work involving any Contractors must be managed at all times.

Under the CDM Regulations (2015) it will be the responsibility of the Principal Contractor to follow their own processes for other specialist contractors carrying out work on their behalf. Any contractors involved in the Construction, Maintenance, Installation and Repair on University sites or under their undertaking must adhere to EHS-001 General Code of Safe Practice for Construction, Maintenance, Installation and Repair.

3. Definitions

Client. Anyone who has contracted, or construction work carried out for them. The main duty for clients is to make sure their project is suitably managed, ensuring the health and safety of all who might be affected by the work, including members of the public.

Principal Contractor. Under the CDM Regulations (2015) a contractor appointed by the client to manage the construction phase on projects with more than one contractor

Contractor. An individual or business in charge of carrying out the supply of goods and services or engaging in construction work (e.g. building, altering, maintaining or demolishing).

Sub-Contractor. A subcontractor is an individual or in many cases another business that signs a contract to perform part or all of the obligations of another's contract.

Worker. An individual who actually carries out the work involved in building, altering, maintaining or demolishing buildings or structures. Workers include; plumbers, electricians, scaffolders, painters, decorators, steel erectors and labourers, as well as supervisors like foremen and charge hands.

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Contractor management. Is the managing of outsourced work performed for an individual or organisation. Contractor management implements a system (**such** as RESET) that manages contractors, their safety information, insurance information, training programs and specific documents that pertain to the contractor and the owner client.

Person in charge of contractors. Any person from the University directly engaged with the supply of goods and services from contractors and contractor management. Examples include, but are not limited to, Authorised Engineers, Project Managers, Appointed Persons, Reactive Maintenance, Heads of Colleges/Departments, and asset managers.

Reset. A scheme to verify contractor competence that the University has chosen to implement. Contractors working for Estates and Digital Services (EDS) must use [Reset Compliance System](#).

Risk Assessment and Method Statements (RAMS). A systematic process of evaluating the potential risks that may be involved in a projected activity or undertaking and details a stepwise methodology in the way a work task or process is to be completed safely.

Pre-Qualification Questionnaire (PQQ) (Sometimes known as Selection Questionnaire (SQ)) sets out a series of questions for potential tenderers to answer regarding their level of experience, capacity and financial standing. Short-listed suppliers may then be invited to tender for the contract. For EDS contractors, the PQQ is within the [Reset Compliance System](#).

4. Responsibilities

The Executive Board. Demonstrate safety leadership and provide appropriate support to ensure that these procedures are followed, including provision of adequate resources.

Heads of Schools, Departments or Corporate Service Divisions

Demonstrate safety leadership and ensure the implementation of these procedures within their areas of responsibility.

Health and Safety Services. Will provide guidance on implementation of this procedure, monitor compliance and ensure that this process is reviewed regularly, following an incident/investigation or after any significant changes.

Person in charge of contractors (Project manager, consultant, compliance officer). Ensures that they are both familiar with this procedure and that they are working to the current issue of the University’s code of practice for contractors. In addition, they shall:

- Ensure all their employees are made aware of this procedure and receive sufficient information, instruction and training to ensure that their staff follow the process described within this document and that of any contractors
- Take steps to establish that contractors are competent and ensure the contractor’s safety arrangements are suitable and sufficient. This may include reviewing their safety documentation, insurances, risk

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assessments, method statements, and training records (this may be informed by the PQQ/SQ). For EDS contractors this must be managed through the RESET Compliance System.

- Ensure appropriate management of contractors and supervision
- Establish effective communication and carry out periodic monitoring
- Conduct site induction for contractors
- Carry out regular site inspections or checks on their contractors' work.
- Cooperate with Health and Safety Services carrying out audits.

Principal Contractor. In addition to overseeing a contracted work, plan, manage, monitor and coordinate any aspects related to health and safety

Contractor. Plan, manage and monitor the provision and supply of goods and services. Contractors work under the control of the principal contractor on projects with more than one contractor.

Employees. All University staff are required to cooperate in the implementation of these procedures and follow any rules implemented by their departments to control the risk. Report any unsafe practices or concerns regarding contractor to their line manager or Health and Safety Services.

5.Procedure

5.1 Planning

All works involving Contractors will be properly planned. The work may either be required as part of a large scheme or temporary structure, and or be reactive in nature. In that capacity the following shall be completed:

- For construction works not under control of principal contractor on a closed site and arranged by EDS, use of the [Reset Compliance Scheme](#) will be mandatory
- All Contractors will submit RAMS for the activities they are to carry out, in advance of the work or services so that they can be approved
- Contractors can use the University Reset System whereby RAMS, and Construction Phase Plans where applicable, can be uploaded and checked by the person(s) in charge of the works
- When a principal contractor is engaged on the works, it will fall to them to appraise the RAMS from their contractors prior to work

5.2 Preparation

The person in charge of engaging with contractors shall consider, in advance, all services or works, health, safety and environmental requirements, suitability and competence to ensure contractor activities are completed in a safe manner. They must minimise any residual hazards or risks and assist the Contractor in producing suitable and sufficient RAMS.

This will include but not limited to: -

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- Obtain any Asbestos Surveys or Register applicable to the work area
- Obtain copies of any drawings: particularly plant schematics *in situ*, drainage plans or other layouts concerning plant within or outside properties
- Carry out a review of electrical, mechanical and gas systems isolation points, valves and other safety circuits that may affect the work (if applicable)
- Provide adequate access and egress into the work area, including adequate lighting levels, roof or void access.
- Provide information on where to go and where not to go
- Detail any potential confined spaces
- Permits required for the work
- Loading and unloading of vehicles
- Storage of materials
- Waste material: ensuring that all skips are covered and locked where applicable, set away from the properties and fenced off with appropriate signage

NB – Work that affects the fabric of the building can only be undertaken with the prior approval of EDS. All requests for such work must be logged on the ECS (Estates and Campus Services) Service Desk

5.3 Risk assessments

Each Contractor must produce a risk assessment or assessments specifically written for the task they will undertake. This can be in their own format, but must follow the HSE’s stepwise methodology and include the following details as a minimum:

- All significant hazards associated with the work activity
- Who is affected by the work and how
- Assessment of the risk
- Control measures, precautions they will apply to control the risks by following the hierarchy of controls
- Date
- Job Specific
- Location Specific

In the event the work undertaken deviates from the agreed risk assessment, the Contractor should undertake a point of work risk assessment dynamically to consider additional control measure to manage the works and inform the person in control of contractors the significant findings.

5.4 Method statements

The contractor’s method statement needs to set out the sequence of activities they will be carrying out and to include the following details as a minimum:

- Company identification
- Specific address where the work is to be carried out
- The date and times the work is to be carried out, especially if this is considered out of hours
- The names of their employees to be engaged in the work

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- Any specialist competencies, such as PASMA, CSCS and IPAF, relevant to the work being undertaken and the evidence of those competencies
- List of any equipment to be used and calibration certificates for any testing equipment
- Any requests for permits or special permission certification as part of the required work e.g. laboratories, road closures and crane activities
- Any detailed emergency arrangements, especially if working in potential confined spaces, or working at height, or fire watch after hot works
- Any notifications to the building or ECS Helpdesk

5.5 Site access

On arrival to the site during normal working hours, all contractors employed on any of the work for the University will report to the person in charge.

On all CDM sites a signage sheet detailing time in and out of site will be used or equivalent as determined by the Principal Contractor, for all other works the Reset terminals should be used to log in and out, or signing in and out with the Line Manager when the work is complete

In addition to this for any work being carried out in out of hours, the main contractor or Line Manager will ensure that Security is aware of their presence and length of time they will be required on site Lone working should be avoided where possible and risk assessed if not and suitable and sufficient emergency arrangements must be made. The use of the University’s [Safe Zone App](#) is mandatory in some cases such as EDS contractors and always recommended for lone working.

5.6 Induction

All contractors attending any part of the University and or other buildings to carry out any form of work, must have a site induction conducted by the person in control of the contractor. As a minimum this should include:

- Emergency and first-aid arrangements
- Location of assembly points
- Specific hazards, restrictions and permit requirements
- General site rules
- Welfare provisions

5.7 Waste management

All contractors are responsible for any waste produced by them. Waste must be disposed of in the correct manner in accordance with the University policy, including UHSP-39 Hazardous Waste. Unless agreed formally prior to works starting, contractors should take all waste and materials with them when they leave site.

5.8 Action by contractors

Contractors must carry out their work in accordance with current legislation and relevant Codes of Practice and best practice where applicable. They will also ensure that all their employees and any sub-contractors adhere to the rules and guidelines set out in the contract and University policies and procedures.

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When working in shared workplaces, they will closely liaise with the persons controlling the contract to ensure that appropriate precautions are taken to protect the University's employees, students and the public.

5.9 Action by the person in charge:

The Project Manager or person in charge has overall responsibility for the day-to-day control of contractors and thus must monitor Contractor activities. If they are found not to be complying with University policies and procedures, appropriate action should be taken, which may include asking contractors to leave the site. In cases of imminent danger, the contractor should be instructed to stop work until the correct precautions are in place.

The Project Manager or person in charge must be informed of instances of serious non-conformance with health and safety and environmental policies and procedures as a matter of urgency. All incidents, accidents and near-misses must be reported to Health and Safety Services in accordance with the University policy UHSP-02b Accident and Incident Reporting and Investigation.

Should there be other contracts of work being undertaken in close proximity the Project Manager or person in charge must co-ordinate the works between them, so as not to cause any issues for the university end users.

5.10 Procurement of contractor services

Contractor selection must take place in accordance with the University procurement approval process. Ideally, an approved Supplier / Contractor would have completed a PQQ or SQ which determines that the contractors have made the appropriate arrangements for the management of health and safety and the environment which are demonstrable, for example in a written policy. If PQQ/SQ has not been completed, the person engaging works must ensure the competence of the contractor and the suitability of their safety arrangements, i.e.:

- Evidence of competency to carry out contracted work
- Adequate levels of Insurance covering the specific work
- Membership of relevant trade associations where appropriate

6. Related documents

- [HSG 159](#) Managing contractors A guide for employers
- [INDG 386](#) Using contractors A brief guide
- [INDG 244](#) Workplace health, safety and welfare A short guide for managers
- [L153](#) Managing health and safety in construction - Construction (Design and Management) Regulations 2015
- EHS-001 General Code of Safe Practice for Construction, Maintenance, Installation and Repair
- UHSP-02b Accident and Incident Reporting and Investigation
- [Reset Compliance System](#)
- [Safe Zone App](#) (contact University Security Team).

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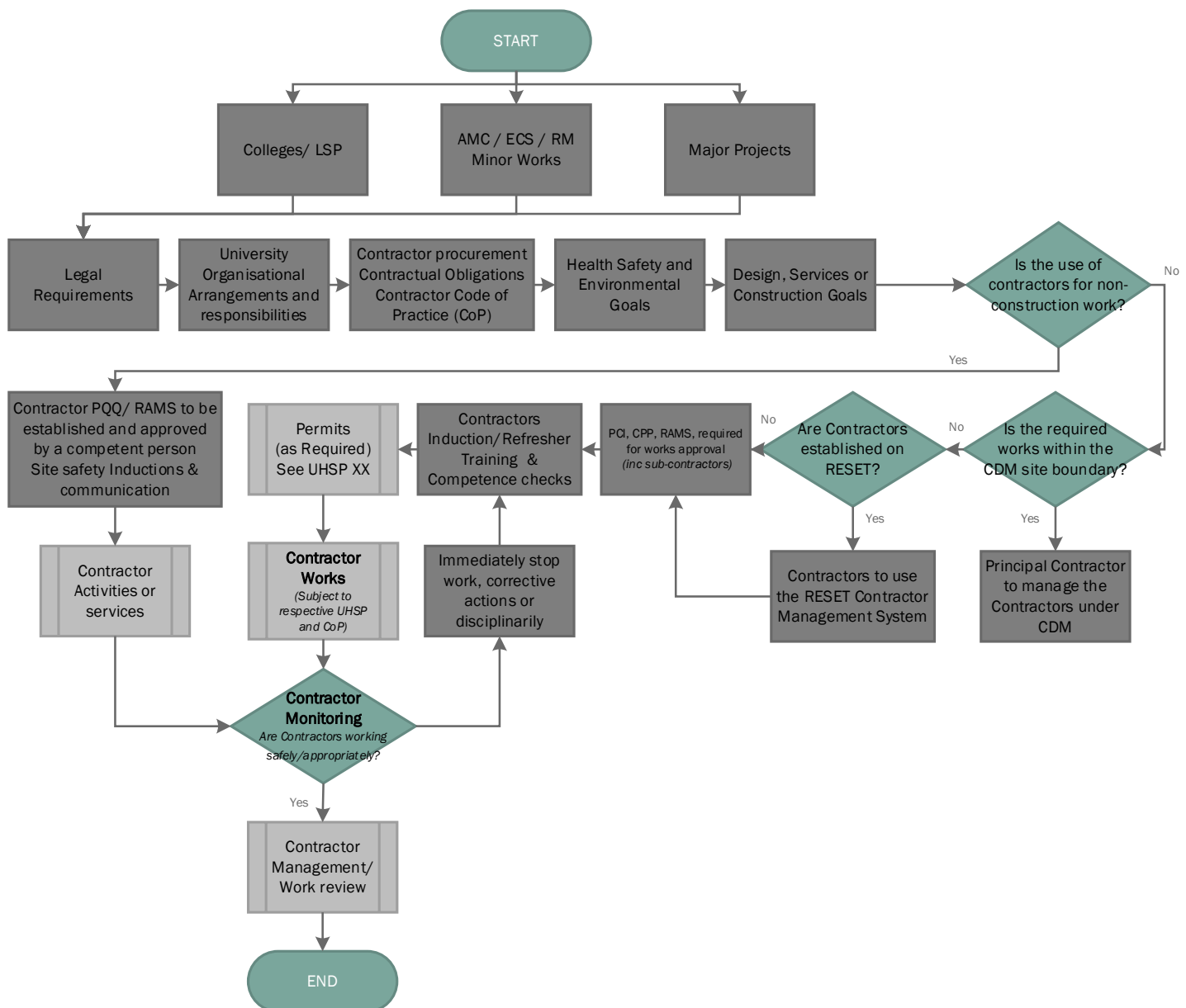
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7. Revision History

| Date of Issue | Version number | Amendments Made |
|---------------|----------------|---|
| 31/01/2020 | 1.0 | First issue |
| 14/12/2020 | 1.1 | Minor (Reset made more explicit, safe zone mentioned by Mubin Chowdhury HSBP for AMC) |

APPENDIX 1 – FLOWCHART



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