



**LIVERPOOL HOPE
UNIVERSITY**

175 YEARS OF ACADEMIC
EXCELLENCE

CHS 086

CONTROL OF CONTRACTORS CODE OF PRACTICE

Document Control

Responsibility for Policy:	Executive Director Finance, Services and Resource
Approved by and date:	University Council 4 th July 2013 Reviewed 25/08/2015 13/02/2018 07/01/2022
Frequency of Review:	Five yearly
Next Review date:	1 st June 2027
Related Policies:	Health and Safety Policy Fire Safety Policy Electricity at Work Code of Practice
Minor Revisions:	Inclusion of Fire Stopping Guidance- June 2021 Minor text revisions - August 2022
EIA:	NA

Introduction

The University acknowledges and accepts its duties under the Health and Safety at Work Act 1974 and the Management of Health and Safety at Work Regulations 1999 to assess the risks posed to the health and safety of its employees and any others affected by its activities. By accepting these statutory responsibilities, the University aims to secure and maintain a high standard of health, safety and welfare for all staff who are directly employed or contracted to work on any University premise. As owner of the premises, the University will uphold its duty to ensure, so far as reasonably practicably, the health, safety and welfare of all staff, students and visitors and to take necessary actions to ensure any University activities do not endanger others, including contractors, who may undertake work on or visit any University premises.

This code of practice is written for the benefit of contractors and their employees, including any sub-contractors engaged at any University premise. All contractors undertaking work at the University will conform to the provisions of this code of practice along with any local departmental procedures. Observation of the University code of practice does not in any way relieve contractors of their own statutory and contractual obligations. Contractors are also reminded all legal duties and responsibilities relating to the Health and Safety at Work Act 1974 cannot be delegated by contract.

A copy of this University Code of Practice shall be provided to all contractors who are contracted to undertake work on behalf of the University.

This code of practice aims to be authoritative and sets out management procedures for good health and safety management practice. This guidance should provide all Heads of School /Department, Managers, staff and students with the necessary information to incorporate robust health and safety procedures into their work activities. The use of this document and the incorporation of its requirements into working practices ensures the University shall achieve compliance with its legal duties with regards to health and safety.

As noted in the HSE Use of Contractors guidance, the following definitions shall apply:

Contractors	Refers to any company, firm, person or persons appointed by the University to undertake work on their behalf.
Client	Any employer in the public or private sector who uses a contractor. Please note, where Construction (Design and Management) Regulations 2015 (CDM) applies, clients, contractors and others have specific legal responsibilities.

Duties

The University, as a client and an employer, will ensure all work 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.

To achieve this, the University will ensure:

- it only engages suitably competent, financially viable contractors to undertake works on its behalf.

- all contractors are provided with necessary information and instruction to undertake their works in accordance with the objectives of this code of practice.
- where relevant, suitable asbestos information is provided to all relevant contractors to enable them to plan and undertake their work without risk of exposure.
- adequate and suitable passive fire protection measures are provided upon completion of all construction works, building services and information infrastructure, including networking and data cabling projects
- individual contractor employees are provided with induction training before commencing works and this training is recorded;
- suitable and sufficient procedures are in place to gain effective communication, co-operation and co-ordination of all contractor works;
- all contractors are visibly identifiable to other members of staff on campus.
- contractors are only permitted to commence works once proper planning and appropriate measures are in place to manage and deliver works effectively with regards to health and safety;
- where works are undertaken directly for the University the contractor is supervised by a competent project manager;
- where contractors are required to carry out high risk works, then those works shall be subject to a Permit-to-Work system;
- contractor performance is reviewed and / or audited on project completion.

Responsibilities

Heads of School / Department or Directors

Heads of School/ Departments or Directors are expected to take responsibility for ensuring their departments comply with this Code of Practice and staff understand their responsibilities as set out in this guidance. In particular they must:

- ensure that sufficient resources are allocated to control and manage contractors' activities within their Departments; in doing this Heads / Directors are responsible for producing and maintaining local rules and procedures for the control and management of contractors
- ensure that all appointed contractors are competent to undertake the works for which they are engaged.
- devise local procedures which ensure contractors are provided with suitable and sufficient information and instruction regarding hazards that may exist in the area within which they will be working;
- ensure that local rules, include a consideration of the likelihood of asbestos exposure;

- ensure that any breaches of compartment walls, floors or fire rated partitions that occur during the course of contracted works are adequately repaired to maintain fire stopping upon completion;
- devise local procedures to ensure contractors receive robust induction training which outlines the Universities arrangements regarding health and safety, whilst also ensuring contractors are aware of and comply with this Code of Practice.

If the structure within the School/ Department allows, Heads / Directors may delegate these responsibilities to an appointed competent member of staff for the purpose of managing contractors' activities locally. For the purpose of this code this person shall be referred to as the Project Manager.

Estates Department

The University's Estates Department shall observe the responsibilities outlined above in addition to the legislative requirements outlined in the Construction (Design and Management) Regulations 2015. The nature of the work activities within the department and the frequency of the types of work for which contractors shall be appointed means the Estates Department must ensure a robust management system is in place to minimise the risk to those working on behalf of the University.

The Estates Department shall:

- appoint a suitable Principal Designer and where applicable, a Principal Contractor and ensure they remain compliant with their duties as outlined in CDM 2015 for the duration of the project
- identify, collect and co-ordinate pre- construction/ project information, including collating evidence of contractor registrations with an appropriate pre-qualification and approved professional body
- notify the relevant Enforcing Authority or Building Control Authority of the nature of a planned project ensuring such notifications are completed in a timely and appropriate manner
- prepare and provide suitable and sufficient information to contractors with regards to project management to enable adequate preparation of suitable construction phase health and safety plans, including records of fire stopping and passive fire protection measures
- liaise with the appointed Principal Designer regarding on-going design and progress of the project/ construction work.

Contractors

Contractors are responsible to the relevant Head of School/ Department. All contractors will be informed of the University member of staff to whom they must report. Contractors shall comply with current legislative requirements, best practice, industry standards, contractual terms and conditions; and University policy and management procedures.

Whilst working on behalf of the University, contractors shall:

- not undertake any works at the University without the express authority of the Head of School/ Department and / or Principal Contractor
- provide appropriate risk assessment and method statements prior to undertaking any works and shall have these formally receipted by the University
- sign on to and off site as directed
- co-operate with the Head of School/ Department, Project Manager and / or Principal Contractor in planning and managing work
- ensure all employees have attended the appropriate induction training and signed on receipt of the University's site rules
- inform the Project Manager and / or Principal Contractor immediately of all injuries, incidents, including near misses, reportable accidents, diseases and dangerous occurrences
- provide documentary evidence of adequate insurance cover to indemnify the company in response of any negligence arising out of or in connection with any works undertaken, in compliance with the Employers' Liability (Compulsory Insurance) Act 1969
- observe the University's Permit-to-Work system where applicable.

Principal Contractors

Under the Construction (Design and Management) Regulations 2015, Principal Contractors are assigned responsibilities as a duty holder for all notifiable and capital project construction works. Principal Contractors may also be appointed for other non - notifiable works and be given the responsibility to engage sub- contractors. Where such an arrangement is in place each Principal Contractor shall:

- plan, manage and monitor works to make sure, so far as is reasonably practicable, they are carried out without risks to health or safety;
- provide suitable and effective fire stopping and maintain passive fire protection measures to mitigate the impact of fire spread through University buildings;
- ensure adequate welfare facilities for those working on the site;
- draw up and implement the site rules as necessary;
- draw up and implement the construction phase health and safety plan where applicable;
- provide a suitable site induction and make sure those working on site have received adequate training in the tasks they are required to perform to allow them to work safely and without risks to health;

- ensure those working on site have received sufficient information with regards to safe systems of work along with any foreseeable risks they may be exposed to, in order to work safely;
- ensure those working on site are provided with suitable and sufficient Personal Protective Equipment (PPE) and that its use is enforced;
- ensure that adequate supervision arrangements are in place, where applicable;
- make sure the site is suitably fenced and prevent unauthorised persons from entering the site, where applicable;
- ensure co-operation between those working on the site, and that work is co-ordinated in such a way as to prevent danger.

For capital works projects and notifiable construction works the above responsibilities are not exhaustive and this code does not relieve the University and Contractors of their responsibilities under the Construction (Design and Management) Regulations 2015.

Health and Safety Advisor

The Health and Safety Advisor shall monitor and audit compliance with the Control of Contractors Code of Practice at regular intervals to ensure that the stated aims and objectives are consistent with legislative requirements and best practice. On request the Health and Safety Advisor will provide information and advice to staff regarding safe working practices and procedures when engaging with contractors. Relevant training will also be sourced upon request to enable staff to comply with this policy.

Safe Systems of Work

i. Permits-to-Work

Where a potentially hazardous or high-risk activity is identified the University operates a Permit-to-Work system whereby no contractor will be permitted to work unless they are in possession of a signed permit which has been completed by an authorised member of University staff. The contractor shall be required to sign the Permit-to-Work prior to commencement and upon completion of the works and in doing so must satisfy the competent or authorised persons that a safe method of work has been established. Where Permits-to-Work are required during larger construction works, permits may be issued by the Principal Contractor at the discretion of the Head of School/ Department responsible for commissioning such works.

Permits-to-Work are currently in place for the following work activities:

- confined spaces
- high voltage or Low voltage electrical systems
- working at Height, including roof work and scaffolding
- hot works
- maintenance or Isolation of the fire system
- boilers and Pressure systems.

The Permit-to-Work will determine the nature and extent of any isolations or physical controls, the equipment, the timing and extent of the work, the number of people involved

with the work activity and any identified emergency arrangements and procedures. Permits shall not be issued unless all preliminary safety precautions are in place.

ii. Fire Safety

Fire safety is an important aspect of the University's induction training provided to all contractors. Fire Action notices are posted in all common areas of each University building and contractors are reminded to familiarise themselves with the local procedures, rules and instructions listed on these notices and comply accordingly, ensuring that:

- employees are familiar with the sound of the fire alarm and the means of activating the alarm in the event of an emergency
- employees are aware of the location of fire-fighting equipment and the requirement to report any use or damage of such equipment
- safe methods of work are implemented to reduce the risk of fire and the incidence of false alarms
- any flammable mixtures or substances are used and stored safely and appropriately
- any cylinders and containers are not left unattended and in a way which may pose a danger to others
- a Permit-to-Work is obtained prior to commencing any works involving a naked flame or heat producing equipment
- all rubbish left on site is disposed of correctly
- all employees observe the University's designated smoking areas whilst on campus
- employees work activities and equipment in no way prohibits the existing means of escape from any University building, fire warning or fire-fighting equipment and site access for Emergency Services.

iii. Accident Reporting

The Reporting of Injuries, Diseases, Dangerous Occurrences Regulations 1995 (RIDDOR) require that certain accidents or dangerous occurrences at work are appropriately reported. The University has a system of accident reporting and investigation in place to ensure that these regulations are upheld, all contractors are required to adopt these procedures in order to assist the University to comply with these regulations.

Contractors are to inform their assigned Project Manager and / or Principal Contractor immediately in the event of an accident or near miss occurring to themselves or others during the course of their work on University premises. All accidents shall be recorded as soon as it's safe to do so using the [University's Accident Report Form](#). Contractors are responsible for notifying the Enforcing Authority where appropriate.

iv. First Aid

The Health and Safety (First Aid) Regulations 1981 require all contractors to carry out an assessment in order to determine their own individual requirements with regards to first aid provision for their employees, this will usually require the provision of First Aid Kits and the nomination and training of a member of staff to provide appropriate first aid treatment in the event of an accident. Contractors are responsible for the provision of their own first aid arrangements.

Further Reading

Management of health and safety at work. Management of Health and Safety at Work Regulations 1999. Approved Code of Practice and Guidance

Managing health and safety in construction: Construction (Design and Management) Regulations 2015. Guidance on Regulations

Five steps to risk assessment HSE Books 1998

A guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995

Managing contractors: A guide for employers (HSG159)

The Provision and Use of Work Equipment Regulations (PUWER) 1998

Confined Spaces Regulations 1997

Control of Substances Hazardous to Health (COSHH) Regulations 2002

Personal Protective Equipment (PPE) at Work Regulations 1992

Manual Handling Operations Regulations 1992

Lifting Operations and Lifting Equipment Regulations (LOLER) 1998

Control of Asbestos Regulations 2012

For further information see the Health and Safety Executives website at www.hse.gov.uk