

Local Rule: Engaging External Service Providers



1. Significant Hazards

Engaging incompetent Service Providers, failing to exchange appropriate health and safety information with them failing to adequately monitor their management of health and safety issues, often results in the University community being exposed to unnecessary risks which frequently lead to personal injury or damage to property.

The University aims to reduce and control risks from engaging External Service Providers by fulfilling the requirements of the:

- Health and Safety at Work etc. Act 1974;
- Management of Health & Safety at Work Regulations 1999;
- Construction (Design and Management) Regulations 2015;
- Control of Substances Hazardous to Health Regulations 2002; and
- Various other pieces of legislation which requires provision of information to external service providers e.g. Ionising Radiation Regulations 2017.

This Local Rule applies to all departments and sets out the standards of health and safety management required to demonstrate these co-ordination and co-operation requirements.

2. Key Definitions

Department Supervising Officer – means any staff member within a department who is deemed to be competent to oversee the work in question and has been tasked to plan and oversee the work and liaise between the department and a particular Service Provider or group of Service Providers.

Within Estates Services, those fulfilling the duties of Department Supervising Officers are most likely to be section heads and project managers, plus their nominated engineers, supervisors and/or clerks of works. Their liaison role may involve a single University department or range over a number of different departments, depending on the scope and nature of the contract.

Service Provider – means any external organisation or individual brought in to provide a service or complete work on behalf of a department.

3. Departmental Roles

3.1. Nominated Co-ordinator

Head of Department must ensure:

- One or more Departmental Supervising Officers is appointed for each piece of contracted work, and a deputy to cover absences; and
- That those appointed as Departmental Supervising Officers have appropriate training and competency in terms of knowledge, skill and experience commensurate with the service/contract work they are expected to oversee.

3.2. Department Supervising Officer (DSO)

All Department Supervising Officers play a key role in the co-ordination and co-operation process that ensures risks to Service Providers from University activities and risks to staff, students, visitors, the general public and property from Service Providers' activities are adequately controlled. This person will understand the risks associated with the work and be competent to assess the control measures that are put in place to address the hazards and associated risks. Their responsibilities include:

- Planning the work, identifying the hazards and evaluating the risks posed to Service Providers by the premises, specific accommodation, activities, equipment, procedures etc.;
- Being aware of good practice in relation to the work being undertaken by the Service Providers they are liaising with;
- Selecting a suitable Service Provider and evaluating their competence to undertake the work;
- Liaising with the Service Provider at all stages of the particular contract work, to champion the University's and/or department's health and safety interests;

- Understanding the risks posed to the University community and property arising from the Service Providers work;
- Collating all relevant contractual and legislative documentation including method statement(s) and risk assessment(s);
- Understanding the risks posed to staff, students, visitors the public (University community) and property arising from the Service Provider's work and the kinds of precautions to be taken by the Service Provider to control those risks;
- Being briefed by the Service Provider on the significant findings of relevant risk assessments, product safety data sheets, method statements and procedures;
- Communicating, when necessary, with all who may be affected regarding the hazards and risks arising from the Service Provider's work;
- Monitoring that the precautions referred to in the risk assessment and method statement, submitted by the Service Provider, are being adhered to; and
- Suspending work where serious and imminent danger could arise.

In addition, Department Supervising Officers need to be aware of their own limitations in relation to the above responsibilities and be willing, where necessary, to obtain competent assistance from others, or to inform their Head of Department of any concerns. It is advised that, as a minimum, newly appointed Department Supervising Officers should be given an induction into their role, by someone from Safety, Health and Wellbeing or Estates Services.

Since the role of Estates Services personnel in supervising contract work is different to that of other departments, then, competence levels should be achieved, commensurate with the nature of the work expected from individuals.

4. Assess Risks When Engaging Service Providers.

4.1. Scope of Contract Work Permitted By Various Departments

As a first step, the Department Supervising Officers must satisfy themselves that the department is permitted to undertake the type of work required. The following gives an indication of the types of work permitted:

By Estates Services: Work Involving Building Fabric or Services

With the exception of Information Services, only University Estates Services' personnel are authorised to engage outside Service Providers to carry out work on University building fabric and/or services.

Some examples of fabric and services are given below, but the list is not exhaustive:

<u>Building Fabric</u>	<u>Building Services</u>
<i>Asbestos containing materials</i>	<i>Air-conditioning</i>
<i>Cladding</i>	<i>Duct work</i>
<i>Ceilings/Ceiling tiles</i>	<i>Electrical systems</i>
<i>Ceiling voids</i>	<i>Fire hoses</i>
<i>External Walls</i>	<i>Fire alarms</i>
<i>Fire doors</i>	<i>Fume cupboard ductwork or extract systems</i>
<i>Floors (including sealing, covering and removal of coverings)</i>	<i>Gas supply</i>
<i>Insulation</i>	<i>Heating systems</i>
<i>Internal Walls</i>	<i>IT cabling</i>
<i>Roof-lights</i>	<i>Plumbing & water systems</i>
<i>Roofs (including access to)</i>	<i>Security systems</i>
<i>Wall coverings</i>	<i>Sewage & drainage systems</i>
<i>Windows</i>	<i>Smoke/heat detectors</i>
	<i>Telephone systems</i>
	<i>Ventilation systems</i>
	<i>Wet and dry risers</i>

Construction Work

In addition, all work that is subject to the current Construction (Design and Management) Regulations 2015 (CDM) should be managed by Estates Services.

CDM aims to reduce the incidence of accidents and occupational ill health arising from construction work by stipulating procedures to improve the planning and management of health and safety on construction projects of all types, throughout every phase and involving all duty holders in the management of risk.

In general, construction work will include:

- The construction, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration or other maintenance, decommissioning, demolition or dismantling of a structure;
- The removal of a structure or of any product or waste resulting from demolition or dismantling of a structure; and
- 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.

Permit-controlled Work

Estates Services use permit-to-work procedures to control work by Service Providers and Estates Services personnel, which is particularly hazardous (permit-controlled work), for example, work on electrical installations, gas installations, fume cupboard ductwork/extract systems, access to roofs and hot work. This helps to ensure that hazardous work is safely planned, organised, controlled and monitored.

By Information Services:

Information Services, in agreement with Estates Services, may employ external Service Providers to undertake specific types of work, namely:

- Involving network cabling;
- Installation of associated active and passive networking equipment;
- Certain maintenance tasks associated with air-handling equipment for dedicated IT rooms;
- Repair and maintenance of PC, Server and networking related equipment;
- Repair and maintenance of Uninterruptible Power Supply Units (UPS); and
- Any necessary IT related electrical installation and repair.

Information Services are still required to ensure that both this guidance and the “Safety Standards Expected from Service Providers” document are adhered to.

By All Other Departments:

Departments may only organise contract work so long as it does not involve University fabric or services or permit-controlled work. Where there is any doubt, advice should be sought from Estates Services or Safety, Health and Wellbeing. Examples of authorised work or services include:

- Inspection, maintenance or repair of:
 - Computer equipment;
 - Microbiological safety cabinets;
 - Laboratory, workshop, office or kitchen equipment;
- Special cleaning of residences;
- Routine collection of items or equipment;
- Hire of services/equipment for special events (e.g. exhibitions, concerts etc.);

In all cases departments are required to ensure that both this Local Rule and the “Safety Standards Expected from Service Providers” document are adhered to.

On no occasion should a department organise any work which involves University fabric or services (including those requiring an Estates Services Permit-to-Work) or which is subject to CDM.

Such work should always be referred to Estates Services through Service Requests.

4.2. Identifying Hazards

The first step in identifying the hazards is to plan the work. The Department Supervising Officer should:

Plan the Work

- Define the job;
- Ensure work is within the remit of the department and remains within this remit;
- Through a process of risk assessment identify the hazards within the proposed work area resulting from:
 - Normal work operations which take place within the work area;
 - Work being undertaken by any other service provider in the area; and
 - The environmental conditions within the proposed work area.

Choose a Service Provider

- Establish what safety and technical competence is needed;
- Ask pertinent questions of the proposed Service Providers to probe competence;
- Check if the Service Provider already has University approval through Estates Services (Purchasing Services);
- If Service Provider has not been approved through Estates Services, objective evidence of competence from the Service Providers (training certificates, trade/professional body memberships, references etc.) must be obtained;
- Decide whether subcontracting is acceptable. If so, establish and agree how the Service Provider will ensure the health and safety arrangements of any sub-contractor they use; and
- Evaluate all proposed Service Providers and appoint one that is suitable.

Once a suitable Service Provider is appointed the Department Supervising Officer should:

Provide the Service Provider with Information

- Relating to the nature and scope of the proposed work;
- The departments risk assessment of the work area and hazards within; and
- A copy of the "Safety Standards Expected from Service Providers" document.

The Department Supervising Officer must ensure the Service provider reviews this information and considers the hazards identified and the working rules and health and safety standards required when they develop their own risk assessment and method statement for the tendered work.

4.3. Evaluating Risks

Once the Service Provider has had time to evaluate and plan the work, the Department Supervising Officer should:

Arrange a Pre-start Meeting

- Go through information about the job and the location.
- Issue Service Provider with a copy of the "Safety Standards Expected from Service Providers" document;
- Assess the Service Providers risk assessment and method statement, if available (if not available at time of meeting,

these must be reviewed prior to commencing the work);

- Ensure the Service Providers method of work:
 - Eliminates risk where possible and reduces the risks that cannot be eliminated;
 - Complies with the "Safety Standards Expected from Service Providers" document;
 - Ensures fire protection is maintained; and
- Complete S7 Form.

4.4. Deciding On and Implementing Risk Control Measures

Prior to the Service Provider commencing work, the Department Supervising Officer should:

Prepare for the Commencement of Work

- Arrange for "Permit to Work" to be raised by Estates Services, if required;
- Inform those affected (Department Staff, students, other contractors working in area etc.) about the work, the hazards and controls; and
- Inform about out of hours work arrangements.

Manage Contractors Working on Site

- All contractors sign in and out;
- Identify the Department contact (DSO);
- Reinforce health and safety information and contractor rules; and
- Fire Safety & Emergency Evacuation Induction.

Permit Work to Commence.

- Check the job and control measures and allow work to begin; and
- Ensure "Permit to Work" in place if required.

Keep a Check on the Work In Progress

- Assess the degree of contact needed;
- How is the job going:
 - As planned?;
 - Is the Service Provider working safely and as agreed?;
 - Any incidents?;
 - Any changes in personnel?
- Are any special arrangements required?; and
- Completion or suspension of work?

Review the Service Providers Performance

On completion of the work the Department Supervising Officer should review the performance of the Service Provider, including as a minimum:

- Review the job and Service Provider:
 - How effective was your planning?;
 - How did the Service Provider perform?;
 - How did the job go?
- Reporting accidents or dangerous occurrences;
- Recording details of the work; and
- Reviewing health and safety performance.

Service Providers with an unsatisfactory performance should not be engaged on future work.

Further information to assist with completion of the above steps can be found in Safety, Health and Wellbeing “Guidance for Departments on Engaging External Service Providers”.

4.5. Recording the Significant Findings

To record and demonstrate that the engagement of a Service Provider has been managed correctly, Department Supervising Officers must ensure that an S7 form “Service Providers Working on University Premises- Arrangements for Health and Safety” is completed on engagement of the Service Provider and retained on file after completion of the work.

The department’s correct completion of this process may be checked by Safety, Health and Wellbeing during any audit of the department’s safety management system arrangements.

Further information to assist with completion of the S7 form can be found in Safety, Health and Wellbeing “Guidance for Departments on Engaging External Service Providers”.

5. Providing Information and Supervision

5.1. Information

Where staff, students or existing Service Providers are exposed to risks from work undertaken by a second Service Provider, departments must inform them about:

- The risks to their health and safety from work undertaken by the second Service Provider; and
- How the risks are controlled and reduced.

This can be imparted during a staff /Service Provider briefing or a tool box talk and can be supplemented with a copy of the S7 form and supporting documentation.

5.2. Supervision

Once the Service Provider has started work, the Department Supervising Officer must occasionally check on the Service Provider to ensure:

- The work is being undertaken as planned;
- The precautions referred to in the risk assessment and method statement are in place; and
- That work is suspended where serious and imminent danger could arise.

6. Further Information and Guidance

6.1. HSE Source

Publications free to download from the Health and Safety Executive website
<http://www.hse.gov.uk/>

- HSG159 Managing Contractors – A guide for employers;
- HSG150 Health and Safety in Construction;
- INDG411 Need Building Work Done? A short guide for clients on the Construction (Design & Management) Regulations 2015;
- Managing health and safety in construction, Construction (Design and Management) Regulations 2015, Guidance on Regulations L153.

6.2. Other sources

- University Guidance – Expected Safety Standards of External Providers;
- University Guidance – Engaging External Service Providers.

The following summarises how departments can effectively implement this Local Rule and integrate it into its management systems. These processes will be monitored as part of Safety, Health and Wellbeing Audit Programme, and where departments are able to demonstrate fulfilment of key actions, this is likely to provide strong evidence of good practice.

		Key Management Actions
1.	Departmental Roles	<ul style="list-style-type: none"> • Ensure that at least one responsible person (Department Supervising Officer) is appointed by the Head of Department to co-ordinate the work of Service Providers; • Ensure that the duties of the nominated co-ordinator are defined based on those in paragraph 3.1 above; • Ensure that appropriate management, administrative and technical systems and procedures are in place to effectively control risks from Service Providers and these are regularly reviewed; • Ensure that above systems and procedures are incorporated into general departmental arrangements and communicated to relevant staff.
2.	Identifying Hazards	<ul style="list-style-type: none"> • Ensure work is planned; • Ensure planned work lies within the scope of work permitted to be undertaken by the department; • Evaluate and choose a suitable Service provider; • Ensure a risk assessment for the location where the work is to take place is completed and provided to the service provider; • Ensure risk assessments from any other service providers working in the area are provided to the service provider; • Supply Service Provider with a copy of the "Safety Standards Expected from Service Providers" document.
3.	Evaluating Risks	<ul style="list-style-type: none"> • Ensure the Service Provider supplies the Department Supervising Officer with a risk assessment and method statements for the work. Review this for suitability; • Arrange a pre start meeting to review the method of work, risk assessment and control methods; • Complete S7 form.
4.	Implementing Risk Control Measures	<ul style="list-style-type: none"> • Inform those affected by work of hazards and control methods; • Manage Service Provider; • Raise Permit to Work if required; • Check the job and control measures and allow work to begin; • Check on work in progress; • Review the performance of the Service Provider.
5.	Recording the Significant Findings	<ul style="list-style-type: none"> • Ensure S7 form completed and supporting documentation appended.
6.	Providing Information, and Supervision	<p>Where staff, students or others are exposed to the risks from Service Providers:</p> <ul style="list-style-type: none"> • Ensure relevant information on risks to their health & safety is provided along with information on how these risks are eliminated or controlled; • Ensure occasional checks on the service provider and the work in progress are carried out.