



University of  
**Nottingham**

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Health and Safety

# Management of contractors

SAF-MAN-2.14



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Health and Safety Department

**Approved  
Document**

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# Contents

		<b>Page Number</b>
1	Introduction	4
2	Scope	4
3	Regulatory Background	5
4	Definitions	5
5	Roles and Responsibilities	6
6	Appointed Contractor List	10
7	Managing Contractors	10
8	Training	12
9	Monitoring	13

# Management of contractors

**The University of Nottingham takes the responsibility for ensuring a healthy and safe working environment very seriously and we expect our staff, students, visitors, and contractors to do the same.**

As a controller of premises, the University has a statutory duty to ensure, so far as is reasonably practicable, the health, safety and welfare of all its employees, and further, to ensure that all contractors who may undertake work on any University premises do so safely and without risk to themselves and others who may be affected by their activities.

## 1. Introduction

The University recognises that when contractors attend our premises, we have obligations to manage them for the safety of everyone who could be affected by their activities. Contractors hold similar responsibilities to ourselves, and it is therefore our policy to work in collaboration with our carefully selected competent contractors to ensure that our workplace remains safe and without risk to health.

## 2. Scope

This document forms part of the University's Management Arrangements for Health and Safety made under the University Health and Safety Policy. Therefore, requirements contained within this document are considered policy and must be complied with.

These arrangements apply to all contractors who are carrying out work for the University under a contract for services.

This document will detail the mechanism by which the Business Units will manage contractor's activities depending on the level (type or complexity) of the service or job they are engaging the contractor to carry out for them.

Contract work that falls within the definition of 'construction' under the Construction (Design and Management) Regulations 2015 (CDM) is not within the scope of these arrangements (See separate CDM Policy and Arrangements - SAF-POL-CDM).

### 3. Regulatory Background

The policy has been developed within the context of:

- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulations 1999
- Workplace (Health, Safety and Welfare) Regulations 1992 (as amended)

Other regulations may apply depending on the type of work contractors are being engaged to carry out at the University.

### 4. Definitions

#### Contractors

For the purposes of this policy, a contractor is defined as a person / company who is under a contract to provide materials or labour to perform a service or do a job (non-construction) for the University.

#### Contract for services

Covers those works / activities such as but not limited to:

- Maintaining buildings and plant as part of a service agreement e.g. window cleaning, boiler maintenance
- Carrying out survey work e.g. roof survey, space survey
- Supplying / delivering goods e.g. food, furniture, water bottles
- Replacement of standard fixtures and fittings e.g. lightbulb, ventilation grill replacement
- Servicing of equipment in Business Units, teaching areas and offices e.g. autoclaves, printers, portable appliance (PAT) testing.

#### Construction

See separate CDM Policy and Arrangements - SAF-POL-CDM.

#### Sub-contractors

A sub-contractor is defined as a person / company who carries out work for a main contractor. Main contractors are responsible for managing their sub-contractors and must provide evidence of the procedures they have in place to ensure that sub-contractors comply with site rules, risk assessments and methods of working. Sub-contractors must be treated, for the purposes of health and safety, in the same way as the main contractor and

suitable checks on safety policy, competence, risk assessments and methods of work (often referred to as RAMS – Risk Assessments and Method Statements) must be carried out by the main contractor.

### **Non-conformities**

Non-conformities are when a contractor has not adhered to the requirements of the University Safety Rules for Contractors or statutory requirements. Non-conformities must be addressed immediately through positive discussion, encouragement, and direction from the University Contact (Person in control of works). Non-conformities must be communicated to the Procurement Department via a Corrective Action Notice which will form part of a contractor review.

### **University Contact (Person in control of works)**

This person is appointed by the Head of Business Unit to be the main contact and responsible for the management of the contractor they engage. Hereinafter, this person will be referred to as the University Contact.

### **University Safety Rules for Contractors**

The University Safety Rules for Contractors is a document that states contractor health and safety minimum requirements. It is expected that all contractors meet or exceed these requirements. (See SAF-ARR-MAN2.14-RUL Safety Rules for Contractors - Non-construction) It is required that all contracting companies agree to these rules before commencement of any work. This document must be re-issued every three years or when there is a significant change to the University requirements.

### **University Contractors Safety Information Booklet**

The University Contractors Safety Information Booklet is a document that provides contractor personnel with a more user-friendly version of the University Safety Rules for Contractors - Non-construction. It is expected that all contractors' operatives be issued with this at induction. (See SAF-ARR-MAN2.14-INF).

### **RAMS – Risk Assessment and Method Statements**

A risk assessment involves careful identifying of hazards in the workplace. You must then analyse these hazards to determine if they present a risk that could harm. If a risk is identified, suitable ways of eliminating or mitigating the risk must be implemented.

RAMS are documents created after they conduct risk assessments. RAMS documents contain details of the hazard as well as a step-by-step safe working guide that can be followed.

## 5. Roles and Responsibilities

### University Council will

- Seek assurance from the Director of Health and Safety that appropriate systems are in place to ensure compliance with this policy
- Be responsible for overseeing the effective implementation of the University's Management of Contractors arrangements and monitoring compliance via the Estates Office and other relevant Business Units.

### University Health and Safety Committee will

- Be the formal oversight and compliance committee for the University and will provide assurance to University Council
- Promote good practice among University staff and students in relation to the management of contractors
- Consider and advise on University contractor management arrangements
- Be notified of any significant incident or enforcement action
- Receive annual report of audits and assurance monitoring.

### Health and Safety Department will

- Provide competent advice and support on contractor management to the University
- Provide and keep updated policies, arrangements and guidance to ensure any statutory requirements for contractor management are met
- Have an oversight on contractor-related safety training and ensure adequacy through routine review
- Have an oversight of reported incidents concerning contractors and make recommendations where necessary
- Lead on and coordinate visits by external agencies, including the Health and Safety Executive
- Issue Corrective Action Notices where significant non-conformities are identified, and a copy is sent to the Procurement Department
- Periodically conduct health and safety inspections and audits on contractors and ensure that any findings are reported back to the relevant Business Unit and Health and Safety Committee.

### Heads of Business Unit will

- Have responsibility for the implementation of this policy within their respective department, faculty, or school

- Provide and keep updated, policies, arrangements and guidance to ensure any statutory requirements for managing contractors are in place
- Ensure robust arrangements are in place for the appointment of suitable contractors
- Ensure robust arrangements are in place for managing contractors and their employees, including any sub-contractors engaged at any University premise
- Ensure that a suitable person within the Business Unit is appointed to manage the contract and acts as the University Contact (Person in control of works)
- Ensure that adequate resources and training are allocated to the managing of contractors within their area
- Ensure robust records are kept for the management of contractors
- Ensure an appropriate review of the contractors takes place.

### **Procurement Department (on single contracts greater than £25,000) will**

- Create and maintain a robust Appointed Contractors List for the University
- Ensure contractor has appropriate insurances (PI, ELCI, PLI), please see 'Insurance requirements for Contractors' available from the University Insurance Manager
- Ensure health and safety is included in the process for appointing contractors
- Ensure contractors have a written health and safety policy
- Ensure that contractors have agreed the University Safety Rules for Contractors
- Ensure contractors are capable of delivering the contract
- Review any feedback or non-conformities.

### **Health and Safety Co-ordinators will**

- Support Head of Business Unit with their duties in relation to managing of contractors
- Ensure and undertake regular monitoring of contractor work
- Ensure an appropriate review of the contractor's performance and provide feedback to the Procurement Department as necessary
- Issue Corrective Action Notices where significant non-conformities are identified, and a copy is sent to the Procurement Department
- Ensure arrangements are in place for the storage of records for the management of contractors

### **University Contact (Person in control of works) will**

- Ensure the duties of the procurement department are met on single contracts less than £25,000
- Clearly define the nature and extent of the work that is required
- Engage a contractor off the University's Appointed Contractor List
- Work collaboratively with the Procurement Department to ensure that suitable contractors are added to the University's Appointed Contractor List
- Where applicable, ensure contractor has membership of a nationally recognised Health and Safety Scheme, or Trade Association or professional body



- Ensure that any contractor engaged has the appropriate skills, knowledge, and experience to carry out the work safely
- Liaise with Business Unit contact to establish local hazards and obtain understanding of the impact of the works to avoid disruption of teaching or research
- Ensure that suitable access arrangements are made with the affected Business Unit Contact (e.g. Lab/Workshop Manager), give sufficient notice and approval is given by the Business Unit contact before work commences
- Identify and communicate local hazards to the contractor so that the work can be performed safely (including any permits/access authorisations)
- Obtain Risk Assessments and methods of work and ensure that the risks associated with the works are adequately controlled prior to the start of any work on site
- Ensure contractors meet the requirements of this policy
- Ensure contractors receive a health and safety induction relevant to the University and Business Unit before work commences
- Ensure all contractors are provided with a copy of the University's Contractors Safety Information Booklet (SAF-ARR-MAN2.14-INF) at induction - and that receipt of this is recorded and stored robustly
- Ensure an initial site visit (if applicable) and regular monitoring is carried out during contractor work
- Issue Corrective Action Notices where significant non-conformities are identified, and a copy is sent to the Procurement Department
- Undertake an appropriate review of the contractor's performance and provide feedback to the Procurement Department as necessary
- Report incidents via the University's incident reporting arrangements
- Ensure any significant incident or enforcement action is reported and appropriately investigated
- Attend appropriate contractor management training as directed by the University.

### **All Staff and Students and Visitors will**

- Comply with all policies, arrangements, and guidance both at a University and local level
- Ensure they comply with notices and other information concerning contractors who are working in their area, and respect all the safeguards that have been put in place for everyone's safety.

### **The Contractor / Sub-contractor will**

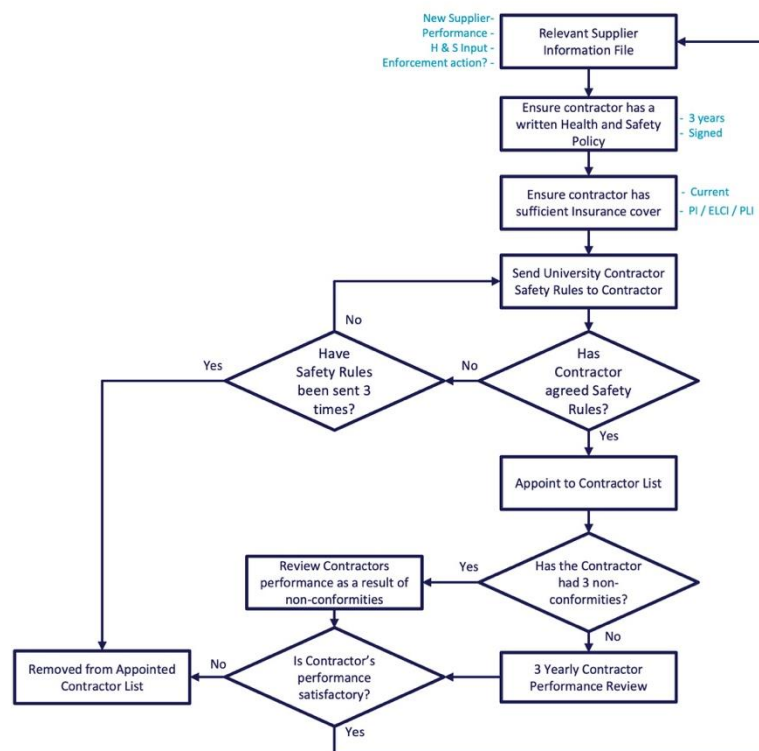
- Ensure that suitable and sufficient Risk Assessments and methods of work are held on site for the specific works being undertaken, and that these are adhered to
- Comply with the University's Safety Rules for Contractors and the Business Unit's safe working procedures, if applicable
- Attend induction training, as directed by their University Contact
- Ensure all workers have been issued with a copy of the University's Contractors Safety Information Booklet, and is available for inspection

- Notify the University Contact of arrival prior to commencing work
- Ensure all workers have the relevant training to undertake the work safely
- Ensure all work is supervised appropriately
- Ensure suitable health and safety monitoring is undertaken
- Contractors shall confirm that liability insurances must include key loss cover as standard
- Ensure appropriate insurances, and where applicable, membership of a nationally recognised Health and Safety Scheme, or Trade Association or professional body.

## 6. Appointed Contractors List (on single contractor more than the £25,000)

The Procurement Department has responsibility via the PQQ (Pre-Qualification Questionnaire) or the Selection Questionnaire process for creating and maintaining a robust Appointed Contractors List for the University and ensuring that health and safety is included in the process for appointing contractors.

### Procurement Flowchart



Contractors will be appointed based on skills, knowledge, training, experience, and suitability for the work to be done.

Contractors could be engaged in the following ways:

## Management of contractor engagement process

### Business Unit managed contractors

Those contractors engaged **directly by the Business Unit**

*Example: to carry out PAT testing within a department, specialist contractor to maintain lab equipment*

When contractors are engaged via this route, the University Contact will ensure the following forms are completed:

- Management of Contractors Form - CON1 (See Section 10 - Forms)
- Contractor Site Specific Induction Form - CON2 (See Section 10 - Forms)

The University Contact must ensure that suitable access arrangements are made with the affected Business Unit Contact (e.g. Lab/Workshop Manager), give sufficient notice and approval is given by the Business Unit contact before work commences

### Estates Office managed contractors

Those contractors engaged by the Estates Office following a **works request** from the Business Unit

*Example: to replace a fire extinguisher, to carry out window cleaning*

When contractors are engaged via this route, the Estates Office will ensure the following forms are completed:

- Management of Contractors Form - CON1 (See Section 14 - Forms)
- Contractor Site Specific Induction Form - CON2 (See Section 14 - Forms)

Estates Office to liaise with Business Unit contact to establish local hazards and obtain understanding of the impact of the works to avoid disruption of teaching or research

Those contractors engaged **directly by the Estates Office** to carry out work in a particular Business Unit

*Example: to service and maintain fume cupboards*

Estates Office must ensure that suitable access arrangements are made with the affected Business Unit Contact (e.g. Lab/Workshop Manager), give sufficient notice and approval is given by the Business Unit Contact before work commences

Those contractors engaged **directly by the Estates Office** to carry out work on the Estate

*Example: to carry out ground's maintenance work*

When contractors are engaged via this route, the Estates Office will ensure the following forms are completed:

- Management of Contractors Form - CON1 (See Section 14 - Forms)
- Contractor Site Specific Induction Form - CON2 (See Section 14 - Forms)

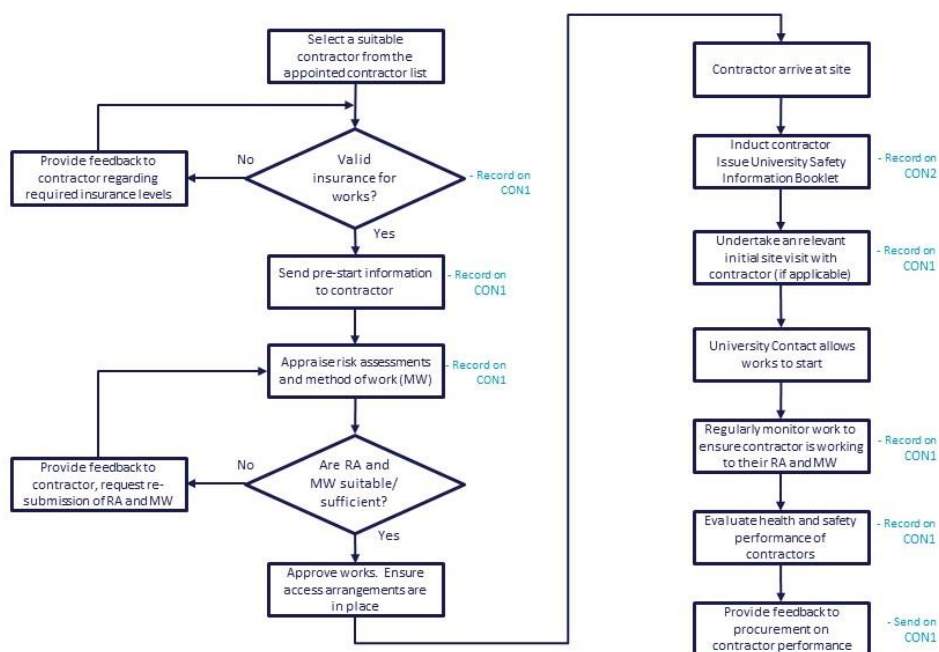
## 7. Managing Contractors

The flowchart below depicts the requirements stated in the Management of Contractors Form - Non-construction (CON1) which shows the steps that should be taken to ensure that the contractor selected from the Appointed Contractor List can proceed with the works safely and without risks to health and safety. This means ensuring that they have the correct documentation to proceed with the intended works; including valid insurance, and risk assessment and methods of work based on the pre-start information that has been

previously sent to them. Feedback should be provided to the contractor to allow them to address any shortfalls identified during this process.

Once the works are approved to proceed (via the CON1 Form) then the contractor can start work following an appropriate induction (using the CON2 Form) and if required an initial site visit. Regular monitoring, appropriate to the risk and complexity of the works, should be undertaken. Finally, an evaluation of the health and safety performance of the contractors should be undertaken, and feedback provided back to the Procurement Department (using the CON1 Form).

## Managing Contractors Flowchart



## Induction

All contractors must receive an induction prior to commencing work. Each induction should be specific to the area and the types of work being undertaken (see CON2 Form). The induction should include, but is not limited to:

- Scope of the works
- University key contact details (including emergency contacts)
- Arrangements for the interface between contractor and University activities (segregation requirements)
- Location of welfare facilities
- How to report an incident (initially to the University Contact)

- Any restrictions (e.g. lab, workshop rules)
- First Aid arrangements
- Explanation of permits in place (if applicable)
- Minimum personal protective equipment requirements
- Issue the University's Contractors Safety Information Booklet (SAF-ARR2.14 - INF)

### Skill, Knowledge and Experience

All Contractors working at the University must be able to demonstrate skills, knowledge, training, experience, and suitability for the intended work.

This can be demonstrated by, but is not limited to:

- Being a member of a nationally recognised accreditation scheme (if applicable)
- Qualifications (e.g. Electrical work is only done by a qualified electrician)
- Previous references.

## 8. Training

University staff who are required to engage and manage contractors must have understanding and knowledge of their health and safety responsibilities in respect of contractor management.

Relevant training will be provided for University staff undertaking the managing of contractors, including contractor induction, to support them in their roles.

## 9. Monitoring

In line with the roles and responsibilities above, inspection and monitoring activities will be carried out relevant Business Unit.

Regular monitoring should be undertaken for the duration of the works to ensure that everything is going to plan. This can be achieved through progress meetings and/or site inspections or audits and should be proportionate to the nature and size of the job. The amount of contact with the contractor must be related to the hazard and risks associated with the job. For example:

- A one-off job e.g. to replace signage throughout a building may require a daily check to ensure fire escape routes are maintained and trip hazards are minimised
- A periodic short-duration maintenance job e.g. to service an item of laboratory equipment may require a check at both the start and finish of the work
- Regular contract work activities e.g. to maintain air handling equipment may require inspection a few times per year

- High risk jobs, e.g. the surveying of a roof where a Permit to Work is required, will require more contact from the University Contact (Person in control of the works)

### Zero Tolerance / Corrective Action Notices

Where monitoring detects poor standards, this must be addressed with the contracting company concerned immediately and, if necessary, monitoring frequency should be increased. Where appropriate, work is stopped whilst a solution is found.

University of Nottingham operates a zero tolerance policy and requires adherence to the requirements set with the Contractor Site Rules and statutes by positive discussions, encouragement, assistance and direction. Where necessary more formal means may be used.

By direct discussions with our Contractors the issuing of a **Corrective Action Notices** (SAF-MAN2.14-CAN). Corrective Action Notices are typically issued by the Health and Safety Department, Health and Safety Co-ordinators or University Contact (Person in Control of works) and are aimed at more formally seeking a remedy for a deficiency identified whilst undertaking monitoring activities.

A Corrective Action Notice can be issued for cases of significant non-conformance with legal or Client requirements, a risk of injury, damage to property or an infringement of statutory regulations.

**Note:** The Contractor will be held responsible for the failures of their subcontractors.

Where repeats of serious deficiencies are identified the University operates a 'two strikes' policy. Strikes are measured in terms of two Corrective Action Notices issued within a twelve-month period, which will initiate an independent management review by the Health and Safety Department.

Corrective Action Notices are issued sparingly and reserved to focus the attention of the University Senior Management to a serious concern in relation to their health & safety standards. Following receipt of two strikes, the Health and Safety Department would seek the removal of a Contractor from the appointed contractors list for a minimum period of 6 months.

### Contractor Performance Review

A review will take place on completion of the works. In the case of contracts for regular work, the review will take place at least every three years.

The review will be proportional to the type, size and complexity of the works and covers in particular:

- compliance with health and safety rules, risk assessments and methods of work
- quality of work
- effectiveness of communications

- decision whether to add / retain / remove the contractor from the University's Appointed Contractor List
- any improvements to the procedures for the control of contractors.

On completion of the works, the University Contact (Person in control of the works) will ensure that any documentation associated with the work such as certification, operating instructions and product guarantees are obtained, and safely stored.

## 10. Forms

To support the Business Units to manage their contractors, two forms have been developed. It is expected that these are completed by the University Contact (Person in control of the works) or their delegated authority.

Management of contractor forms		
Ref	Title	Description
CON1	Management of Contractors – Non-Construction	To be used for recording of management of contractor's arrangements for works at the University
CON2	Contractors Site Specific Induction	To be used to record inductions of individuals from contracting companies
CAN	Corrective Action Notice	To be used when a significant non-conformity is identified