EFM
Control of Contractors

2018

Estates and Facilities Management Policy and Management Procedure

Document Control

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<tr>
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<tr>
<td>Document Owner</td>
<td>Head of PBS</td>
<td></td>
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<tr>
<td>Document Approver</td>
<td>Director of EFM &amp; IT</td>
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1 Scope

This Policy and Management Procedure sets out requirements for the management of contractors and consultants engaged by EFM and working on University property. It focuses on ensuring compliance with health and safety legislation, managing risks and overall performance.

This document has been written for both EFM staff appointing contractors and contractors themselves - it sets out our processes, procedures and requirements for working on site.

This policy has been written to ensure legal compliance with all current health and safety legislation. It applies to all contractors and service providers appointed by EFM; divergence from this Management Procedure may result in EFM Managers and contractors being exposed to possible legal proceedings.

This EFM Policy and Management Procedure does not alter the terms and conditions of the company order or exempt contractors from the duties placed on the employers and employees to comply with the Health and Safety at Work Act 1974 nor any associated legislation, but it is intended to assist contractors in attaining compliance with the law.

The most recent version of this Management Procedure is available at http://sheffield.ac.uk/efm/policiesprocedures/the control of contractors

2 EFM Policy

The University of Sheffield acknowledges and accepts its statutory responsibilities for securing and maintaining the highest standards of health, safety and welfare for all who are directly employed, contracted to work, studying or visiting within any part of the university estate.

Furthermore EFM acknowledges its responsibilities under the CDM (Construction, Design Management) Regulations 2015. Any company delivering services which are subject to CDM Regulations must ensure that they comply with their CDM duties.

To achieve this EFM will

- Define individual's roles and responsibilities when managing contractors.
- Ensure that EFM staff and contractors are competent to undertake the tasks they are asked to undertake.
- Manage contractors in a structured way with transparent procedures which will minimise risks to all on campus.

A copy of this University Policy and Management Procedure will be passed to all contractors who are contracted to undertake work on behalf of EFM.
3 Roles and Responsibilities

President and Vice Chancellor

The President and Vice Chancellor has ultimate responsibility to ensure that the University of Sheffield is compliant with all statutory Health and Safety requirements. This responsibility is devolved to the Chief Operating Officer who is responsible on a delegated basis for the general oversight and development of health and safety policy and ensuring coordination of such policies and practices University wide.

Head of Health and Safety

The Head of Health and Safety is responsible for developing the University’s procedures and guidance for the control and management of contractors and shall be responsible for:

- Determining the minimum acceptable level for defining health and safety competence of personnel appointed to manage construction/maintenance works and Authorised Persons.
- Verifying, as required, that buildings or building areas are safe for use before occupation after commissioning or major refurbishment.
- Facilitating health and safety and fire safety advice to Estates and Facilities Management for planned projects and maintenance where contractors are employed.
- Reporting any significant findings of any monitoring, review or investigations to the University’s Health and Safety Committee.
- Acting as the main point for contact and communication with the Health and Safety Executive (HSE), enforcing authorities and local authorities for all matters of health, safety and welfare.
- Ensuring all accidents and incidents defined under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) are formally reported and investigated.

Director of Estates and Facilities Management and IT

The Director of Estates and Facilities Management and IT is accountable for the development of policies and procedures for managing Health and Safety within EFM, specifically the Director of EFM is responsible for ensuring:

- Compliance with all applicable legislation.
- The development and implementation of this Control of Contractors Policy.
- The development and implementation of a robust system of contractor assessment to ensure that only those contractors deemed competent are added to the ‘Pre-approved Contractors List’.
- The allocation of sufficient resources to adequately manage and undertake works and activities in a safe and managed way.
- That EFM staff have the appropriate knowledge, training and skills (competences) to manage works and activities.
- Issue written authorisation for construction/refurbishment work to commence.
The Control of Contractors

Head of Property and Business Services

The Head of Property and Business Services is responsible for:

- The development, strategic direction and implementation of this procedure.
- Regular updates and reviews of this policy.
- Ensuring this policy and procedure is embedded within EFM processes to ensure legal compliance and to control and manage contractors on campus.

EFM Heads of Sections

Heads of Sections shall be responsible for:

- Ensuring that sufficient resources are made available to control and manage contractors’ activities within their sections.
- Producing and maintaining Local Rules and procedures for the control and management of contractors within their sections.
- Ensuring that all those involved in appointing managing contractors’ activities are competent to do so.
- Ensuring that their sections comply with the requirements of this Policy and Management Procedure.

Managers and representatives of EFM who appoint and manage contractors

EFM Managers / Representatives are responsible for:

- Compliance with the requirements of this procedure.
- Appointing competent contractors who meet the pre-determined minimum requirements as defined in the Pre-Approved Contractors List Policy.
- Reviewing the adequacy of Risk Assessment Method Statement provided by contractors
- Managing contractor’s performance.
- Adhering to the Permit to Work Procedures and arranging and issuing all relevant Permits to Work.
- Maintaining all necessary paperwork to ensure a suitable audit trail ensuring that this procedure has been complied with
- Carrying out regular management review meetings
- Acting as a central point of contact with contractors, sub-contractors, colleagues in EFM, other interested parties and departments in adjoining/surrounding areas
- Provide all relevant information to the Contractor prior to commencement of work to enable him to adequately plan the works (e.g. known risks, asbestos survey etc)

Contractors

Contractors appointed by EFM are responsible for:

- Complying with this procedure.
- To adhere to the guidance provided at the EFM induction
- Providing all necessary RAMS to EFM prior to undertaking works.
- Complying with Site Rules and Contractor Behaviour Policy.
- Reporting all health and safety issues encountered to the appropriate EFM Manager/representatives.
- Undertaking investigations and providing formal reports to EFM for any issue identified as requested by EFM.
The Control of Contractors

 Ensuring that all site managers, supervisors and operatives on site, including all sub-contractors, are appropriately qualified to carry out the work

 Ensuring that their sub-contractors comply with this procedure.

Contractors are reminded that all legal duties and responsibilities relating to the Health and Safety at Work etc act 1974 cannot be delegated by contract. The contract with the University will define the rights, roles and responsibilities.

4 Before Commencement of Work

Minimum Criteria / Checking Competencies

It is the EFM Managers responsibility to ensure that any company to be instructed to carry out work on the University Campus is on the Pre Approved Contractors List.

The Pre Approved Contractors Listed is a database of companies that have be pre approved and meet the minimum requirement of the University.

It is the EFM Managers responsibility to ensure all operatives instructed to carry out work on campus have the necessary competence and qualifications to do so and to keep records to this affect.

Managing Environmental and Health and Safety Risks

EFM Managers / representatives will inform contractors, prior to starting on site and in writing, of any hazards known to the University that may affect their ability to carry out their task safely, for example asbestos information, electrical hazards, chemical hazards, environmental risks etc.

EFM Managers / representatives must also make contractors aware of other University health and safety and environmental policies and procedures that may affect their work.

Prior to commencement of work, contractors must ensure they provide the EFM Managers / representatives with the following:

- The name of the individual responsible on their behalf for health and safety.
- Documentary evidence of the contractor’s health and safety policy and arrangements, risk assessments and method statement(s) and written statement of the safety precautions to be taken to protect the contractor’s employees, employees of the University/University students and the public from work activities.
- An Environmental Risk Assessment that assesses the impact of contractor activities and outlines the steps that will be taken to reduce these impacts and risks. A copy of an Environmental Risk Assessment can be found in Appendix One
- Documentary evidence of adequate insurance cover to indemnify the company in respect of any negligence resulting in personal injury and/or death, or damage to property and plant arising out of or in connection with the work.
- Evidence that all plant, equipment, materials and systems of work used during the contract comply with statutory requirements.

Should Local Authority Building Control (LABC) have special requirements with respect to the environment, health, safety and welfare the University will advise contractors accordingly.
Where the CDM Regulations are applicable the Principal Contractor must provide a copy of the Construction Phase Health and Safety Plan, which must be approved by the principal designer prior to works commencing.

**Inductions and UCards**

All contractors, service providers and consultants require mandatory EFM inductions in the following instances and must be in receipt of a valid UCard prior to the commencement of work.

1. Where contractors are working in University occupied / operational areas all contractor personnel must be inducted.

2. Where the site falls under CDM Regulations and elements of the project overlap into occupied / operational areas all contractor personnel must be inducted.

3. Where the site falls under CDM regulations and does not impact on other university operations only site management are required to be inducted. EFM Site Rules apply to the remaining contractors personnel.

It is the responsibility of the EFM Manager to complete and authorise the UCard application form and forward it to EFMHelpdesk in advance of the pre-arranged induction. A copy of the UCard application form can be found in Appendix Two.

Inductions are carried out at EFM Helpdesk by prior appointment, and upon request of the Contractor and the EFM Manager. Each person attending the induction must provide a current copies of their mandatory training certificates and qualifications.

Unless the work is of a one off nature, all operatives must renew their UCards and attend an induction on an annual basis.

All UCards must be person specific and include the

- Operatives full name
- The name of the company they work for
- A photo of the operative and
- An expiry date

UCards must be returned at the end of the contract directly the EFM Helpdesk.

Any operatives who have lost their UCard must report it lost to the EFM Helpdesk immediately. Replacement cards will be issued at a cost of £25.

UCards are not to be changed, altered or shared and any contractor found to be in breach will be removed from site.
5 Undertaking Work / Service

Signing In and Out of Site

Where operatives are working on campus and a Principal Contractor has not been appointed, they shall sign in and out at EFMhelpdesk on a daily basis giving details of who they are working for, where and provide a contact number.

Keys

EFM helpdesk are responsible for recording the issue and return of keys.

The EFM representative instructing the work shall be responsible for the approval for the issue of all necessary keys to allow the contractor to access their work area. All keys MUST be returned on a daily basis to EFMhelpdesk (unless authorised in advance by the EFM representative).

Failure to return keys at the end of each day will result in additional financial penalties. A schedule of fines is set out in Appendix Three.

Keys must be kept secure at all times and it is the responsibility of the operative who signed for the key to ensure its safekeeping. Under no circumstances should keys be shared with any other person (for example a sub-contractor).

Lost keys must be reported immediately to the EFM helpdesk in hours or Security Control out of hours and provide a written statement setting out the facts and circumstances of the loss within 24hrs to the EFM representative.

In the event that a key is lost, the contractor will be liable for the total cost associated with re-pinning the lock/s to the area/s compromised and providing the replacement keys. Cost will depend on the type of key, lock and how it is suited, the risk rating of the area or building will also be considered. Refer to the schedule of fines is set out in the Appendix Three.

Permit to Work

EFM operate a permit to work for the following activities

1. Roof access
2. Natural gas systems
3. Piped gas systems
4. Hot work
5. Working at height
6. Working in confined spaces
7. Fire alarm isolation
8. Asbestos

Contractors must have relevant permit type prior to commencement of work. EFM Managers / representatives issue permits which must be countersigned by the contractor. Operatives must carry a copy of the permit to work whilst undertaking the work activities. Upon completion of work the Permit must be returned to the EFM Manager / representative.
**The Control of Contractors**

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**Asbestos and Asbestos Containing Materials (ACM)**

Contractors must not work on asbestos containing materials at the University.

An information card is provided to contractors during inductions and sets out the University’s policy and procedures in the following situations:

- If suspect ACMs not previously identified are discovered.
- If a known or suspect ACM is accidently damaged during works.
- Uncontrolled damage to the fabric of the building or premises.
- Emergency access into plantrooms categorised as RED.
- Passing on asbestos information to the emergency services.

A pamphlet is also provided to contractors at induction to assist with labels and signage they may see around site with regards to asbestos management.

**Fire Safety**

Fire Action Notices are posted in the common areas of all the University’s estate. Contractors are required to familiarise themselves with the local procedures and rules, instructions, comply accordingly and:

- Ensure that their employees are familiar with the Fire Safety Warning Alarms and means of activating them.
- Ensure that their employees are aware of the location of fire Fighting Equipment (FFE) and report any use or damage of such equipment.
- Ensure that all contractor employees evacuate premises on alarm activation.
- Ensure that their employees comply with the University’s No Smoking Policy.
- Provide additional FFE as appropriate or as required by their Project Manager or Principal Contractor.
- Do not wedge Fire Doors.
- Do not remove firefighting equipment.

Furthermore contractors must ensure that their employees’ activities, equipment and skips in no way prejudices:

- Means of escape in case of fire.
- Fire warning or firefighting installations.
- Water supplies for firefighting.
- Access to FFE.

Further guidance on the locations of skips can be found in Appendix Four.

**Vehicle Parking**

Parking on any part of the University campus is strictly controlled and by permit only. Contractors can apply for parking permits for “works vehicles” that are essential to the work in progress. Privately owned employee vehicles are not normally eligible for a permit and must not be parked on University property.

Any vehicle not displaying a valid permit and/or parking in an unauthorised area will be issued with an appropriate Penalty Charge Notice, which is legally enforceable.
Permits for Contractors’ vehicles must be obtained in advance from the EFM Helpdesk, Wheeldon Street, and will be validated for a period appropriate to the contract(s).

The University’s Policy is set out in Appendix Five.

**Scaffolding**

Scaffolding must comply with current regulations and codes of practice from the National Access and Scaffolding Contractors (NASC) including the use of appropriate signage when the scaffold is not in use.

The safety of tower scaffolds requires special consideration, particularly those made up of proprietary lightweight materials. They must be erected and dismantled by competent operatives and used in accordance with the Prefabricated Access Suppliers’ and Manufacturers’ Association (PASMA) guidelines with outriggers/stabilisers used when there is more than one vertical section erected. Towers must not be moved whilst operatives are on the platform.

**HSE Enforcements**

Where a contractor working on university premises has been issued with a HSE enforcement and/or improvement notice for a site on campus the contractor must immediately inform the EFM Manager / representative, and at the next progress meeting in the case of all other notices.

**Signage and Barrier Protection**

Where safe working areas are necessary contractors must ensure that adequate warning signage, barrier protection and the like are provided at all times for the duration of the works. Where safe working areas are required for more than one day, signage and barriers shall be checked on a regular basis (at least daily) to ensure they remain in place and where missing replaced.

**Contractor Behaviour Policy**

The University expects all contractors to deal with our colleagues and customers in a polite and professional way.

The following are prohibited from being brought onto the work area:

- Alcohol and the abuse of drugs
- Pets and children
- Offensive language and swearing
- Music/radios

All contractors are required to display the name of the company of which they are an employee.

All working parties must carry a copy of the method statement for their job at all times.

Our expectations are set out in our Contractor Behaviour Policy in Appendix Six.
6 Monitoring and Managing Performance

Monitoring Performance

EFM reserve the right to undertake adhoc visits to any workplace or site to ensure the performance of the contractors not only meets but exceeds wherever possible industry standards for safety, environmental performance and quality of work.

Regular reviews of contractors and service provider’s will be undertaken in the following areas

- Annual Review
- Regular management reviews

These reviews will be headed by one of the Heads of Section (or their representative) and the person instructing the work.

The Annual Review will consider information on the number of orders received in the year, the value of work, invoicing procedure, accuracy, timeliness and general compliance with this Control of Contractors Policy (parking, signing in and out and keys). In addition the findings of the other reviews will be considered.

The Regular Review will generally be carried out during the monthly progress meetings (where appropriate) and will give EFM and the Contractor the opportunity evaluate progress, performance and to raise concerns.

The outcome of each review will be agreed and documented.

Where the performance of the contractor does not meet the required standard these issues will be raised at the above review meetings and the contractor shall be expected to put in place appropriate rectification actions.

The outcome of each review will make a recommendation on the actions to be taken.

Disciplinary Procedures

Where the contractor fails to make the agreed performance improvement’s, or where serious breaches occurred a Breach/Non-Conformance Review will be instigated by a specially convened review panel upon notification of a breach.

The review panel shall consist of three people: a Head of Section, a member of the Health and Safety team (if necessary) and the EFM Manager with representations being made by the contractor
The following occurrences are examples that shall be deemed a breach of University Procedures (this is not intended to be an exhaustive list):

- Non-compliance with the Permit to Work Policy
- Non-compliance with Asbestos Policy and Procedures
- Non-compliance with the Fire Safety Policy
- Non-compliance with the Control of Contractors
- Breach of University Financial Regulations
- Non-compliance with Contractor Behaviour Policy
- Poor workmanship and performance
- Causing damage to University property
- Poor invoicing procedures
- Undertaking work without written authorisation resulting in the University being required to undertake rectification work.

Investigations shall follow the procedure set out in the flow charts in Appendix Seven. Investigation will carried out in a fair and transparent manner. The findings of the review will be documented and a copy provided to the contractor.

A Breach of university rules and procedures may result in a range of disciplinary outcomes, ranging from the issue of a formal warning to suspension from site.

Where no further action has been decided upon against the contractor, a further review of internal procedures will be undertaken.

**Contractors Grievance**

Where a Contractor has a grievance, in the first instance it should be raised with the EFM representative or a Head of Section using the form in Appendix. Eight

Where the matter is not satisfactorily resolved the matter may be further raised with the appropriate Head of Section.

**Confidentiality Acknowledgement**

Contractors shall accept, by signing the acknowledgment for this University Policy and Management Procedure, that no employee of, or person controlled by, their organisation may use any information which comes into their possession as a result of any University contract, directly or indirectly, for their personal gain or their employees have information gained deliberately or by accident, which could described as “inside information” and pass it on to others, they may be committing an offence.
Return Acknowledgement Slip

Contractors are required to sign this acknowledgement of this University Procedure and return it to the EFM or other addressee as may be directed.

Contractors are required and will be deemed to have included copies of this Procedure in any sub-contract let by them and shall make compliance with this policy a condition of any sub-contract. It should be noted that contractors shall not sub-let work without the express permission from the University, which must be made in writing by a duly authorised officer.

Any reference to appropriate Government legislation is to the most recently published version.

We acknowledge receipt of and will abide by the University’s Policy Management Procedure – The Control of Contractors

Signed                                      Date

Name

Position

Company Name

Address

If required, further copies of this University Policy and Management Procedure can be obtained from the University.

This acknowledgement slip must be completed by contractors prior to any work activity being undertaken and returned to the EFM Manager / representative.
Appendix 1 - Environmental Risk Assessment Guidance and Form
Environmental Risk Assessment
Guidance and Form

Introduction

An environmental risk assessment allows you to assess the likelihood of an activity causing harm to the environment and involves describing potential hazards and impacts and the precautions that will be taken to reduce the risks.

Writing an environmental risk assessment is similar to writing a health and safety risk assessment. To write both, you need to:

1. Identify any hazards, i.e. possible sources of harm,
2. Describe how the hazard might cause harm and who / what might be harmed,
3. Evaluate the risk of occurrence and identify precautions,
4. Record the results of the assessment and implement control measures, and
5. Review the assessment at regular intervals.

However processes that you need to undertake to identify the hazards and risks in an environmental risk assessment is different to a health and safety risk assessment. To complete an environmental risk assessment you need to identify the source of the hazard, the pathway and the receptor (as the excerpt of the Environmental Risk Assessment form below shows).

<table>
<thead>
<tr>
<th>Environmental Risks</th>
<th>Managing the risk</th>
<th>Managing the residual risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifying hazards and effects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Source of the hazard</td>
<td>Pathway</td>
<td>Receptor</td>
</tr>
<tr>
<td>What could cause harm?</td>
<td>How could the hazard reach the receptor?</td>
<td>What / who could be harmed?</td>
</tr>
</tbody>
</table>

Identifying environmental risks

Just because something is hazardous, it doesn’t mean it will cause harm. For example fuel oil in a heating tank is hazardous, but harm would only occur when the tank leaks. We need to take into account the likelihood of the leak occurring and the likelihood of the leak affecting the soil, ground water and any nearby water body. An environmental risk then, is the probability of the environment suffering harm from a hazard. A risk assessment will help determine how significant the probability of harm is and prevent the harm from occurring.

For an environmental risk to exist there must be a source of contamination and a receptor and a pathway(s) linking the two i.e. the pollutant linkage.
Source, pathways and receptors

For harm to occur, a hazard must in some way adversely affect what it is we are concerned about (the water body in the example above). For a risk to be present there must be a source of a hazard, a receptor and a pathway between the source and the receptor – see the simple illustration below.

The source-pathway-receptor approach is commonly used in environmental risk assessments. Under normal conditions the fuel oil tank maybe considered safe, but the tank could become damaged and there is a risk that the tank may begin to leak. The source of the hazard could be a corroded tank due to lack of maintenance, or damage to the tank caused by an accident or vandalism. The pathway is the passage of the leaking oil through the soil and / or surface water drains and the receptor is the nearby water body. If any of these elements are absent, then harm, that is actual damage, cannot occur. Below you can find this example written up in the same columns found in the environmental risk assessment form.

<table>
<thead>
<tr>
<th>Source</th>
<th>Pathway</th>
<th>Receptor</th>
<th>Harm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oil leaking from the tank caused by an accident or vandalism</td>
<td>Surface water drains, Soil</td>
<td>River Rio, Ground water</td>
<td>Deterioration in the quality of water supply, Loss of aquatic life, Disruption of the food chain.</td>
</tr>
</tbody>
</table>

To complete the remainder of the document you must indicate how you will manage and reduce the environmental risks and give the risks a rating. This is done in exactly the same way as a health and safety risk assessment. You must evaluate the current controls and decide what more needs to be done so that the remaining risks are low. Once the risk assessment has been completed, you should share it with relevant colleagues and periodically review the document to ensure that it remains applicable to your activities.

A copy of the Environmental Risk Assessment form can be found on the next page.
## Environmental Risks
### Identifying hazards and effects

<table>
<thead>
<tr>
<th>Source of the hazard</th>
<th>Pathway</th>
<th>Receptor</th>
<th>Harm</th>
<th>Existing control measures</th>
<th>Risk Rating</th>
<th>Additional control measures</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
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</tbody>
</table>

### Managing the risk

<table>
<thead>
<tr>
<th>What measures will you take to reduce the risk?</th>
<th>Who is responsible for what?</th>
</tr>
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</table>

### Managing the residual risk

<table>
<thead>
<tr>
<th>Risk Rating with current controls</th>
<th>Additional control measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>L S R R</td>
<td>What can we do / use / put in place to further reduce the risks to an acceptable level?</td>
</tr>
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<table>
<thead>
<tr>
<th>Residual Risk</th>
<th>L S R R</th>
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Activity being assessed: 

Reference no: 

Location: 

Assessment date: 

Review period: 

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<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Guide Description</th>
<th>Severity</th>
<th>Guide Description</th>
</tr>
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<tbody>
<tr>
<td>5</td>
<td>Very likely/imminent – certain to happen</td>
<td>5</td>
<td>Catastrophic - fatality, catastrophic damage</td>
</tr>
<tr>
<td>4</td>
<td>Probable – a strong possibility of it happening</td>
<td>4</td>
<td>Major – significant injury or property damage, hospitalisation</td>
</tr>
<tr>
<td>3</td>
<td>Possible – it may have happened before</td>
<td>3</td>
<td>Moderate - injury requiring further treatment, lost time</td>
</tr>
<tr>
<td>2</td>
<td>Unlikely - could happen but unusual</td>
<td>2</td>
<td>Minor - first aid injury, no lost time</td>
</tr>
<tr>
<td>1</td>
<td>Rare – highly unlikely to occur</td>
<td>1</td>
<td>Very minor – insignificant injury</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Severity (S)</th>
<th>1</th>
<th>2</th>
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<th>4</th>
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<table>
<thead>
<tr>
<th>Risk Rating (RR)</th>
<th>Action</th>
</tr>
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<tbody>
<tr>
<td><strong>High Risk</strong></td>
<td>Stop the task/activity until controls can be put into place to reduce the risk to an acceptable level</td>
</tr>
<tr>
<td><strong>Medium Risk</strong></td>
<td>Determine if further safety precautions are required to reduce risk to as low as is reasonably practicable</td>
</tr>
<tr>
<td><strong>Low Risk</strong></td>
<td>No further action, keep under review</td>
</tr>
</tbody>
</table>

Signature of Risk Assessor

Name / job title:

Details of any persons consulted

Version one: DRAFT
Page 4 of 4
Appendix 2 - Contractor Ucard Application Form
# Estates & Facilities Management

## EXTERNAL CONTRACTORS UCARD AND ACCESS REQUEST

### Applicant's details *(all fields are mandatory)*

<table>
<thead>
<tr>
<th>Applicants Name</th>
<th>Mobile number</th>
<th>Company</th>
<th>Address</th>
<th>Project Title</th>
<th>University Project Manager</th>
</tr>
</thead>
</table>

### Have you had a UCARD before?
- Yes ☐ No ☐

If you have a UCARD please give the Number (printed beneath the barcode):

### Date UCARD is to expire:

*(To match asbestos end date or less depending on project)*

### CDM Project
- Yes ☐ No ☐

Does your work predominantly involve working under the supervision of a Site Manager operating site rules where you have received a specific induction from a Site Safety Manager, or part of a CDM site. i.e. has a principal designer

### Swipe Access

If security access is required into secure or restricted areas please provide details of building or room access requirements. Access all areas is not permitted without the signature of Head of Department

<table>
<thead>
<tr>
<th>Building &amp; Area</th>
<th>Room</th>
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### AUTHORISATION DETAILS

<table>
<thead>
<tr>
<th>Signature of Project Manager</th>
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<tr>
<td><em>(Insert University account user ID if electronic)</em></td>
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<table>
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<tr>
<th>Print Name (BLOCK CAPITALS)</th>
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<table>
<thead>
<tr>
<th>Date</th>
<th>Contact Number</th>
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Appendix 3 – Guidance on the location of skips
Guidance on the location of skips

Introduction

This note provides fire safety guidance to the University of Sheffield’s Project Managers, contractors and sub-contractor’s regarding the safe management* of waste in skips awaiting disposal in order to:

- Minimise the likelihood of fire;
- Ensure that safe means of access to and egress from the campus site is maintained at all times.

* The University and its contractors have responsibilities under the Regulatory Reform (Fire Safety) Order 2005 and the Road Traffic Regulations Act, 1984. Contact should be made with the University Environment Officer for other waste related matters.

Skip Design/Dimensions

Each skip should be clearly marked with the skip owner's or supplier's name and telephone number and all markings must also be kept clean and visible at all times.

Each skip must be no larger than 5 metres in length by 2 metres in width, if it is to be left on the public highway.

Skips should have lockable lids/doors in order to prevent arson attacks; if this is not possible then a fence must be erected to minimise unauthorised access to the skip and its contents.

Skips located On Public Highways

The sides of the skip facing traffic in both directions, must be painted yellow and must be fitted with vertical red and yellow fluorescent reflective markings. These markings must comply with British Standard BS AU152.

Markings must be fitted as near as possible to the top outer corners of the ends of the skip, but no higher than 1.5 metres above ground level. The markings must not be fitted to lids and should only be fitted to a door when it is not possible to put markings on the end of the skip. When a marking has to be fitted to a door, the door should be kept closed, unless loading or unloading is actually taking place.

Permission must be sought if skips are to be sited in a roadway. The following conditions also apply:

- To be positioned on the road so that its longest sides are parallel to the edge of the road and are as near to the edge/gutter of the road as is possible;
To be positioned at least 15 metres from a junction, unless permission has been granted to site it closer.

Skips placed on the public highway require traffic cones on the approach side to guide traffic safely past them.

During hours of darkness or in bad weather conditions, skips must be marked by amber flashing lights which are placed against the skip or attached to each corner of it.

If there are 2 or more skips with less than 2 metres between them, lights can be put on the end corners of the row of skips.

If the skip or skips are positioned on the road, lights should be placed between each of the road cones.

**Note:** if the University becomes aware of any unsafe/unmarked skip, action may be taken by the University (which may include a charge against those requesting the skip or the skip provider) if contractors have to be sent out to make a skip safe or to put lights on an unlit skip.

**Skips Located On-campus**

Where the position of the skip may present a danger to drivers or pedestrians, the first two paragraphs under the ‘public highway’ section above will apply.

Skips should be located at least 10m away from buildings wherever possible. If this is impracticable, permission must be sought from the University Fire Safety team. Where a skip has to be placed closer than 10m from any building, it must have a lockable lid, secured when not in use. No skips containing combustible material can be placed closer than 3m to a building. Skips containing non-combustible material only can be placed next to a building with permission from the fire safety team where there is a safe hard standing area and the conditions below can be met:

(If permission is granted by the University to place skips on a footway or grass verge, care must be taken not to cause any damage).

Unless special permission has been given by the University, all skips

- Must not obstruct access to premises;
- Must not obstruct escape routes;
- Must not obstruct access to fire hydrants;
- Must not be sited in fire service access routes;
- Must not obstruct drivers and pedestrians in any way;
- Must not prevent water drainage on the road or obstruct manholes or stop any functions that are needed to be carried out by the University.

**Skip Filling/Skip Contents**

All rubbish must be placed in the skip, not left on the ground nearby. A skip must not be overloaded.

Contents of the skip must be kept covered, where possible, to prevent dust or other spillage onto the roadway.
Skips must not contain any highly flammable, explosive, toxic, biological materials or other dangerous materials or anything which is likely to cause a nuisance to campus users.

**Emptying Skips**

All materials placed in skips must be properly disposed of (this is the legal responsibility of the disposer, not the skip removal contractor). EFM may require evidence that waste material has been disposed of legally.

Full skips must be removed for emptying as soon as possible after they have been filled.

**Complaints/Reporting Procedures**

Complaints about the locations or safety of skips should be reported using the contact details below:

**Fire Safety:**

University Security Control Room  
0114 2224085

University Fire Safety Officer  
firesafety@sheffield.ac.uk

**Other complaints relating to the use of skips for general waste removal:**

University Environment Officer  
0114 2229083
Appendix 4 - Contractor Parking Regulations
Terms & Conditions Relating To Contractor Parking At The University of Sheffield

1. General
   a) Parking on any part of the University campus is strictly controlled and by permit only.

   b) The Project Manager will advise on the permit requirements but the permit itself must be authorised by the EFM Helpdesk/Parking Management Team.

   c) Permits are only issued to works vans and liveried vehicles essential to the work in progress for transporting equipment/materials. Strictly no cars (privately owned or company) are eligible to park on University property unless agreed in advance.

   d) A pay and display ticket must be purchased at the EFM Helpdesk on the day you are parking, this is £7.00 per day. Tickets cannot be purchased in advance.

   e) Any vehicle not displaying a valid permit and/or parking in an unauthorised area will be issued with a £100 Parking Charge Notice (£60 if paid within 28 days), which is legally enforceable.

   f) Contractor vehicles are expected to comply with relevant general regulations applicable to all car park users. In particular, Contractors are expected to park in a responsible manner. Any vehicles causing obstructions, parked inconsiderately or contrary to regulations will be issued with a Parking Charge Notice. Campus Wardens or other Parking Services staff may direct traffic and require permit holders to move vehicles.

   g) The EFM Helpdesk/Parking Management Team are the ONLY sections of the University which have the authority to issue permits and/or parking guidance other than in accordance with regulations. Advice or information given by any other member of the University (eg Buildings Reception personnel) should not be taken as providing valid authority to act contrary to regulations, and will not be recognised in the event of Parking Charge Notice issue.

   h) Site compounds where provided are intended only for storage, equipment, materials, skips or offices and NOT for company or personnel’s vehicles, unless agreed in advance.

Date Last Reviewed: 20170725
i) Permit holders are expected to drive and park in a reasonable and responsible manner showing consideration to other users. Persistent transgression may result in immediate withdrawal of a permit and/or issue of a Parking Charge Notice.

j) Disabled parking bays are provided at key locations across the campus and are intended for holders of a Local Authority (EU Parking Card) and/or University ‘Disabled’ permits only. Any vehicle found in a designated disabled parking area without such a permit will incur a Parking Charge Notice instantly, as there is a legal obligation to enforce this.

k) Application for/acceptance of a parking permit shall be deemed a legally binding acceptance of the above mentioned Conditions.

2. Procedures relating to Parking Charge Notices
   l) The collection of penalties is managed under contract from the University.

   m) If issued with a Parking Charge Notice, follow the instructions on the notice. The University is not involved in this stage of the proceedings and is unable to intervene in any circumstances.

3. University Transport Policy
   n) The University of Sheffield is committed to a sustainable transport policy and enabling its students, staff visitors and services providers to travel to and from it in a safe, secure and sustainable manner. Contractors are expected to endorse this policy through compliance with the regulations above wherever realistically possible. Relevant objectives of the policy are:
      - To promote an environmentally responsible attitude and approach to transport issues.
      - To address the needs of all user groups and to be sensitive to the local neighbourhood.
      - To encourage and promote alternatives to one person on all commuter travel.
Appendix 5 - Contractor Behaviour Policy
Contractor Behaviour Policy

The University expects all contractors to deal with our colleagues and customers in a polite and professional way, not only are you representing your company but also you are representing the EFM and The University of Sheffield.

Our customers, whether they are students, academics or other university colleagues must be assured of a consistently high level of service from every contractor that they come into contact with.

Contractors must be well presented and approachable at all times. If a uniform is provided it must be worn, kept clean and in a good state of repair. If no uniform is provided then clothing must not carry language or graphics that are liable to cause offense

Company ID and/or University Ucard must be worn and be visible at all times.

Contractors are expected to show commitment to their work, actively cooperate and work effectively with fellow contractors and University Representatives whenever and wherever the need should arise.

Contractors expected to respond professionally and effectively to queries from University employees and if this is not possible they must contact the EFM manager immediately for further advice.

The University is committed to a working and learning environment that is free of any harassment or unlawful discrimination. Persons found to be harassing or discriminating against any university member (staff, student or visitor) will be required to be removed from site.

The University has a strict policy of not allowing the consumption of alcohol or the taking of drugs (other than by a Medical Practitioners prescription) by operatives at work either before or during working periods. The University requires contractors to implement this policy with their employees.

Failure to co-operate will invariably lead to disciplinary procedures with repeat infringements or serious offences resulting in individuals being removed from site.
Disciplinary Procedures - Breach

1. Occurrence of breach

2. EFM investigation to establish reason for breach and whether it is a Minor, Major or Significant Breach

   - Contractor proven to be at fault

     - Minor non-compliance
       - First or second offence: Issue warning letter
       - Repeated breach: Follow Major non-compliance or repeated Minor non-compliance procedure
     - Major non-compliance or repeated Minor non-compliance: Issue Final Warning YELLOW
     - Significant breach causing damage/injury/disruption: ISSUE INSTRUCTION FOR REMOVAL FROM SITE RED

3. University at fault

   - No fault found: Review procedures and make recommendations for rectification
   - No further action required
Appendix 7 – Department of Estates and Facilities Management Complaint / Grievance Form
### Department of Estates and Facilitates Management
#### Complaint / Grievance Form

Completing this form should help you set out the relevant issues clearly, which in turn will help us to look into the matter as quickly as possible.

Please submit the completed form via e-mail to Estates Help Desk
efmhelpdesk@sheffield.ac.uk

**Details of complainant**

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<th>Registered Office Address:</th>
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<th>Mobile number:</th>
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<tr>
<th>Email address:</th>
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In order to investigate the complaint, it will be necessary to reveal the identity of the complainant to individuals other than the recipient of this form. Every effort will be made to observe confidentiality and to ensure that information concerning this complaint is restricted.

Please sign below to indicate that you understand that details of the complaint will be provided to individuals where this is deemed necessary by the investigator.

<table>
<thead>
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<th>Signed:</th>
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<th>Date:</th>
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Section 2 – The Complaint

Please set out below the main points of the complaint. Please provide full details including date, location and names of any UoS staff involved (if applicable) in the incident that has led to the complaint.

Your complaint will not normally be considered if it is received more than 6 months after the last incident to which the complaint refers or more than 6 months after you became aware that you had a reason to complaint.

Details of Complaint:

Please state the outcome you are seeking.
This section is for UoS use only

Date complaint form received:

Name of EFM Representative issued to for resolution: ____________________

Date issued: / / 

**NB:** The complainant must be contacted within 5 working days of the complaint being received

Date of contact: / / 

Details of contact:

Further Actions Required:
Conduct
The following are prohibited from being brought onto the work area:
 Alcohol and the abuse of drugs
 Pets and children
 Offensive language and swearing
 No music/radios

All contractors are required to display the name of the company of which they are an employee. All working parties must carry a copy of the method statement for their job at all times.

Authorisation to work on site
You are not authorised to work on our site unless you have completed the Log-In procedures at the Estates and Facilities Management Helpdesk and registered your work there with the necessary ‘Clearance to Proceed’ issued by the University.

Failure to observe site rules and statutory safety requirements will result in corrective action from the University.

Log-In and Log-Out procedures
The University Log-In and Log-Out procedure is explained at the University Contractor Induction, which you must attend before visiting the University for the first time. The University will provide each person with a UCard identity card as part of the process, subject to your showing the proper identity and qualification documents.

You must have your UCard available for inspection at all times when on University premises.

You must Log-In and Log-Out at the Estates and Facilities Management Helpdesk on every day that you work on the site.

Housekeeping
All areas must be kept clean and tidy at all times.

Refuse and debris must be removed and safely disposed of at all times during the work. Tripping hazards and unsecured cable runs must never be left unprotected on any access way.

No uncovered skips are permitted within 2m of buildings. Skips must only be sited at locations agreed with the University Project Manager who has ordered your work. Waste must not be tampered with or removed by third parties.

Vehicle parking
Parking of vehicles is limited to designated pay and display car parks only. Fixed penalties will be charged for parking in non-designated areas.

Alternative parking is only permissible with daily and formal authorisation from the Security Centre prior to the vehicle’s use.

Driving on any unprotected paved area is strictly prohibited. There are no exceptions. Any company allowing vehicles to drive over broken pavements are liable for the full repair costs.

Welfare
Welfare arrangements must be agreed with the University Project Manager who has ordered your work. If you are permitted to use University facilities this will be strictly on the basis of good behaviour and compliance with University standards.

Whenever separate welfare provisions are made as part of the contract arrangements these must always be used instead of University facilities.

Estates and Facilities Management
September 2011

Site Rules
for Contractors and Suppliers

The University of Sheffield
Western Bank
Sheffield S10 5TN
Welcome to the University of Sheffield
Please read this leaflet. It provides information on the University and its site rules.

The University of Sheffield was founded in 1905 and now has 24,000 students and 5 Academic Faculties. It is highly rated for the standards of its teaching and research.

The Campus is integrated within the City of Sheffield with satellite locations within the city’s suburbs and within Rotherham MBC and Derbyshire CC areas.

Emergency Procedures
All contractors working on site must make themselves familiar with local action notices. This includes familiarisation with local assembly points, alarm points and means of their activation and escape routes. You must follow these local arrangements during any emergency. Never use lifts during a fire, except for the disabled with special provision.

In case of emergency call the University Emergency Control Centre on 0114 222 4444 (or 4444 from University internal phones). In cases of fire you must also activate the nearest break-glass call point. The University Emergency Control Centre will co-ordinate the emergency response from Fire, Ambulance and Police services as well as the University’s own systems.

To contact University Security (to report out of hours working or request assistance) call 0114 222 4085. Accidents incidents and dangerous occurrences must also be reported to University Safety Services on 0114 222 6198 (see full Contractor Safety Guide for details of notification). Out of hours notify the Emergency Control Centre instead.

You must also notify the University Project Manager who has ordered your work about any accident or incident as soon as it is safe to do so.

Asbestos
Work on the fabric of buildings constructed before 2000 is prohibited without a survey to verify that asbestos will not be disturbed.

Information about the asbestos situation in such work areas will be provided by the University as part of the Order process. If you encounter any materials or debris which cause concern you must stop work, secure the area and report the matter to the University Asbestos Management Team by contacting the Estates and Facilities Management Helpdesk on 0114 222 9000.

Access to plant rooms is restricted and requires prior authorisation from the University’s Asbestos Management Team.

Fire Safety
The following must be kept clear and unobstructed at all times:
- Escape routes, fire doors and alarm points
- Fire/smoke detectors and extinguishers
- Access for emergency services

The University operates a no smoking policy. Smoking is prohibited on any work area on site and within 2 m of any building. The burning rubbish and open fires is prohibited.

Hot Work
Any operation involving naked flames requires a University ‘Hot Work’ permit. Contractors must establish additional precautions including the following:
- Appropriate extinguishers
- A fire watch of at least 2 hours

Confined spaces work
Any operation in a space which contains an unbreathable or flammable atmosphere requires a University ‘Confined’ Spaces’ permit. Additional precautions and planning must be established where appropriate, including the following:
- Isolation of supplies
- Test, purge and ventilate atmospheres
- Emergency preparedness

Working at height/excavations
Work activities must be assessed and, where appropriate, safety equipment introduced.

Activities must be controlled to prevent any person from falling and any articles from falling on those below.

All associated work requires University authorisation.

Work on electrical systems
All work on electrical systems will be carried out in accordance with the Electrical Safety Rules for the University.

HV - No person is permitted to work on any HV electrical equipment unless they are in possession of an HV Permit and Switching Schedule.

LV - No person is permitted to work on LV electrical equipment, which requires isolating, unless they have a ‘Competent Person’ certificate. Only persons with an ‘Authorised Person’ certificate are permitted to control isolations associated with a distribution board.

Portable electrical equipment
All portable electrical equipment must display a valid Portable Appliance Test (PAT) and operate at a maximum 110V, unless otherwise authorised.