



Estates Development Department

Code of Conduct for Contractors

Estates Development Department
Lord Milford Building, Plas Gogerddan
Aberystwyth, Ceredigion
SY23 3EB

Introduction

This document has been developed to provide information, details and practical guidance with the aim of protecting the health and safety of the contractor's employees and University staff and students, and any other persons affected by the University's undertaking. It applies to those individuals, companies and organisations, (and any sub-contractors appointed by them), who are contracted to carry out work within the estate of Aberystwyth University, by the University.

Aberystwyth University fully supports the key aim of the Construction (Design and Management) regulations 2007 (CDM) to integrate health and safety into management of the project and to encourage everyone involved to work together.

It is AU policy that Contractors are required to provide evidence, prior to appointment, of third party accreditation of its Health & Safety Management Systems, such as those issued by SAFE Contractor, CHAS or equivalent listed under SSIP.

This document is not exclusive and should be read in conjunction with all other relevant documentation and the detailed and specific requirements set out in the Quotation / Tender information.

In this document reference is made to the Responsible Person. The Responsible Person is the Aberystwyth University named lead contact for the project / works and contact details are supplied with all specifications.

The University's general Health, Safety and Environmental Policies and Procedures can be found on the University Website, www.aber.ac.uk or are available from, Aberystwyth University, Health, Safety and Environment Unit, Old College (Bwthyn), King Street, Aberystwyth. SY23 2AX.

General H&S obligations of the Contractor

- To comply with its legal duties under the Health and Safety at Work Act 1974 and all appropriate legislation made under the Act, in particular the CDM Regulations and other recognised Codes of Practice and industry good practices in order to provide a safe and healthy working environment for its employees and others affected by its activities, and to conform to the provisions of this document.
- To ensure that staff, students and visitors including contractor's employees and occupiers of premises and members of the public do not have their health and safety adversely affected by the activities for which it is responsible.
- To co-operate with the University in controlling Health & Safety Risks arising from their work activities.
- To undertake suitable and sufficient risk assessments for all work-related activities
- To implement safe systems of work at all times.
- To provide and maintain safe plant and equipment.
- To ensure that all materials used shall comply with the latest relevant British Standard and where none exists shall be of sufficient standard to comply with best working practices within the industry.
- To ensure safe handling, use and storage of substances
- To provide the necessary information, instruction training and supervision to their employees and ensure they are competent to do the work given to them. All contractors and their employees must be conversant with the general safety rules applicable to the work being undertaken.
- To provide all necessary resources to ensure health and safety is managed properly.
- To provide for his employees such personal protective equipment as may be required for the work e.g. eye protection, head protection, foot protection, etc.

Accidents, Health and the Reporting of Injuries, Diseases and Dangerous Occurrences

It is the Policy of the University to ensure that the risks of accidents and ill health at work caused by its activities are minimised.

The Contractor must report to the Responsible Person all incidents or dangerous occurrences which occur on University premises whether or not any University employees or students are directly involved. This must be done immediately. It must be stressed that this applies to all injuries incurred by his employees or sub-contractors. For full details of current laws on incident reporting the Contractor is referred to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (as amended). The University will if thought necessary, carry out a full investigation on any incident or dangerous occurrence happening on University premises.

The Contractor shall ensure that their employees, visitors and those of subcontractors under their control are aware of what to do in an emergency.

Near Misses

A 'near miss' is defined as any incident or event that whilst not resulting in injury or equipment damage, clearly had the potential to cause one or other, or both.

It is the policy of the University that it will support the reporting of near misses as a positive benefit to the management of health and safety risk. Near miss reporting provides vital information regarding the areas where health and safety controls may not be adequate. Any reporting of near misses will be received positively.

Near misses must be reported to the Responsible Person or Health and Safety Co-ordinator.

Where the situation is serious

Locate the nearest telephone and dial the Emergency Services to call an ambulance. Give the location of the person requiring attention. Obtain the assistance of the Contractor's trained first-aider and if an ambulance is summoned, arrange for someone to meet it. Alternatively, if transport is available and it is safe to move the injured person, take them to the Bronglais Hospital, Accident and Emergency Unit, Aberystwyth.

Where the situation is not serious or if in doubt

Should medical advice be required contact the Duty Porter or Halls Manger and report the Incident to the Responsible Person.

The Contractor is responsible for providing appropriate first aid for his own workforce and ensuring that subcontractors also have first aid provision.

Fire

Instructions for raising the alarm, summoning the Fire Brigade and evacuating the premises are posted throughout the University buildings and all persons must act in accordance with these instructions. However, the following general procedure applies to all premises.

If you discover a fire

- Operate the nearest fire alarm point.
- On hearing the fire alarm persons with no specific emergency duties must immediately evacuate the building by way of the nearest exit.
- Ensure that the Emergency Services have been informed, if you have not already done this, ask the Operator for the Fire Brigade and give the location of the fire.
- Do not use lifts, since the power may be cut off.
- Do not interfere with mains supply of gas, electricity or water unless authorised.
- Only fight the fire, with an appropriate appliance, if you can do so without taking personal risks and you have been trained to do so.
- Do not re-enter a building until the Fire Brigade indicates that it is safe to do so.

If you hear the fire alarm

Where it is safe to do so, all persons should ensure that they carry out the following procedures in their immediate areas:

- Stop machines and processes (contractor's equipment only).
- Shut off gas appliances (contractor's equipment only).
- Shut off electrical appliances (contractor's equipment only).
- Leave lighting on.
- Close but do not lock doors.
- Evacuate the premises by way of the nearest exit without stopping to collect personal belongings.
- Assemble in the designated area as indicated on the local Fire Action notice.

If contractors work (e.g. dust generation) causes an alarm activation the contractors must not try to stop the evacuation of the building

No fire alarm systems, fire detection or fire fighting equipment may be disconnected, removed, re-sited or otherwise rendered inoperable without the permission of the Responsible Person. A Permit to Work will normally be required if the area is to be unprotected for an extended period (to be decided by the Responsible Person). No fire check door, fire exit or fire shutter may be obstructed, moved or otherwise rendered unusable without the permission of the Responsible Person.

The Contractor must not introduce unusual fire hazards into an area without first notifying the Responsible Person. The Contractor is responsible for providing the appropriate type

of fire fighting equipment and should consult the Responsible Person *regarding such equipment* prior to the commencement of any works. .

The Contractor is responsible for providing the appropriate type of fire fighting equipment within areas under his control. The Contractor must ensure that equipment is appropriate for the work being carried out and is in good working order.

Risk Assessments and Method Statements

Risk Assessments

Risk Assessments are required for all work activities. Contractors are required to carry out a suitable and sufficient assessment of the risks to the health and safety of any employee or other person who may be affected by any work activity. Special hazards exist in some parts of the University and a safety briefing by the Responsible Person may be required prior to the commencement of any works.

Note: Other statutory requirements for certain specific risks exist, all of which have their own requirements and format for risk assessment. The contractor must be familiar with the relevant legislation and regulations.

Should any further hazards become apparent during the execution of the works e.g. discovery of suspicious materials, the Responsible Person is to be contacted immediately for advice.

All risk assessments shall be in writing and where necessary be incorporated into the project health and safety plan, they shall follow the requirements detailed in the management of health and safety at work regulations and the five step guidance outlined in the HSE INDG 163.

Five Steps to a Risk Assessment – HSE INDG 163

<http://www.hse.gov.uk/pubns/indg163.pdf>

All risk assessments shall be reviewed and revised by the Contractor as necessary to accommodate any changes in the method of working or circumstance.

Each project shall have its own risk assessment tailored to the location and circumstances that pertain, it is not acceptable to use 'off-the-shelf' risk assessments or those produced previously without adjusting for the unique aspects of the project.

Essential contents of a Risk Assessment

- Identification of all reasonably foreseeable significant hazards
- Identification of who may be harmed (operatives, staff, students etc.)
- Assessment of the risk presented by each hazard
- Identification of control measures which will be used to reduce or eliminate risk
- Name of person who will be responsible for ensuring that the control measures are implemented

Method Statements

Before commencing work, the Contractor is required to provide Method Statements (Safe Systems of Work). All safe systems of work shall be developed in reasonable time to allow coordination of hazardous work between the University and the Contractor.

Each Method Statement should outline the hazards involved and include a step by step guide on how to do the job safely.

Essential contents of a Method Statement

- Name of Company and person producing method statement
- Brief description of the work to be carried out
- Description of surrounding environment
- Dates and times for the start and end of the work
- List of plant and equipment which will be used during the project
- List of operatives and supervisors who will work on the project
- Reference to the main risks associated with the project
- Methodology of the work
- Emergency Procedures
- Name of person who will be responsible for ensuring that the method statement is adhered to
- It is a requirement that all operatives involved in a project must have seen and understood the Risk Assessment and Method Statement. Evidence to this must be available (such as signatures of the operatives on the actual pages of the Risk Assessments and Method Statements).

Special Hazards

Explosives, toxic or hazardous substances and radioactive materials must not be brought onto University premises without the prior permission of the Responsible Person in charge of the works. Where permission is granted arrangements must be made for the safe handling and storing of these materials. All such materials shall be transported, stored, utilised and disposed of in accordance with current regulations. Where possible, individual exposure to such materials should be avoided. If this is not possible exposure must be adequately controlled, including the use of any necessary control equipment.

The law requires employers to control substances that are hazardous to health. The Contractor is required to carry out and provide a COSHH assessment.

Note: Keeping a copy of the safety data sheet is not a COSHH assessment.

Asbestos

Many of the University buildings are known or presumed to have asbestos containing materials within them. There are many Health & Safety Regulations that directly or indirectly place duties on employers in relation to protecting employees and other occupants from asbestos in buildings.

Work involving asbestos and/or asbestos bearing materials is strictly controlled by legislation, the Control of Asbestos Regulations 2012, and by the University Asbestos policy and arrangements on the subject. The University holds an asbestos register which must be consulted via the Responsible Person for all projects that involves work on the fabric of University buildings or associated equipment and services. If during the course of a contract the work inadvertently disturbs any hidden asbestos, the Contractor must cease work immediately withdraw his employees from the area and report it to the responsible person without delay. Any refurbishment, upgrading or demolition work carried out on University properties must have an Asbestos refurbishment & demolition survey carried out.

The Asbestos policy can be found on the University Estates Development Department's Website:

<http://www.aber.ac.uk/en/media/The-Control-and-Management-of-Asbestos.pdf>

Permits to Work

Permits to Work shall be used to control all high risk work activities.

The requirement for a Permit to Work will be included within the project specification or official works order. A Permit to Work will normally be required prior to the following categories of work being undertaken unless otherwise stated within the official order or project specification:-

- Working in confined spaces (e.g. boiler/plant rooms)
- Working on roofs
- Hot Work
- Excavations
- General (any work which risk assessment dictates requires a Permit to Work)

Commencement of any work requiring a permit is prohibited until the Permit to Work has been issued by the Responsible Person and signed by the Contractor (or authorised contractor personnel). The Permit to Work shall be returned to the Responsible Person on completion of the particular task and countersigned by the Responsible Person certifying that the required works have been satisfactorily completed.

Auditing/Monitoring Review

The Contractor is responsible for maintaining and monitoring health and safety on site. The University will check periodically the systems the Contractor has in place to ensure the health, safety and welfare of all.

Enforcement Authority Visits

Any visit by enforcing agencies must be notified to the University's Responsible Person as soon as reasonably practicable.

Contract Terms

Details of the Terms and Conditions of Contract will be set out in the Quotation / Tender information. In the event of any direct conflict between the contents of this document and the Terms and Conditions of Contract, the Contractor must immediately bring these to the attention of the University or the Responsible Person prior to the commencement of any work.

Commencement of site operations

The Contractor shall not commence any work on Aberystwyth University premises without the express written consent of the University.

A commencement date, the duration of the works and a safe system of work must be agreed with the Responsible Person prior to the Contractors' arrival on site. (Refer to the section on Risk Assessment for further guidance on this requirement).

Contractors must report to the Responsible Person prior to commencement of work on site.

A competent Foreman/Senior Operative shall at all times be maintained on the site by the Contractor and any instructions given in the absence of the Contractor to the foreman/Senior Operative shall be deemed to be instructions given to the Contractor.

The Contractor shall execute any variation to the works and additional works as may be ordered in writing by the Responsible Person to comply with any health and safety issue.

Permission must be obtained from the Responsible Person for access to University premises outside normal working hours. Site Security must be notified by the Responsible Person of works to be undertaken outside normal working hours. The Responsible Person will define the site area within which the construction work will take place. This area must be suitably barriered or fenced to prevent unauthorised persons entering. If work is required to be conducted outside this area, the Responsible Person must be informed and work must not begin until the Responsible person has given consent.

Work undertaken which is not confined to a specific area (such as rewiring work) will require specific risk assessments to be produced to demonstrate that the safety of non-construction personnel will not be affected nor departmental activity adversely disrupted. Control measures identified must include warning signs and temporary barriers (such as post and chain fencing) where possible.

Such an area shall be cordoned off and signs erected at suitable locations, warning building users of the working areas.

Contractors are responsible for the provision and display of safety signs required as a result of work being undertaken. The specification of the signs should comply with the current legislation.

Contractors must not interfere with or connect to the electricity, gas, water or other service of the University without the specific permission of the Responsible Person.

No 240 volt equipment is to be used on construction/maintenance work.

Where pursuant to any contractual obligation any existing fittings or installations are required to remain they shall be re-instated by the Contractor on completion and the Contractor must ensure that such fittings or installations are safe and compliant with any appropriate standards.

General Access

Where possible, all roads must be kept clear for the ordinary traffic of the University and no vehicles are to stand on them for a longer period than is absolutely necessary. No parking of private vehicles belonging to the Contractor, his sub-contractor or workmen will be allowed on any of the University roads. Special care should be exercised when receiving deliveries and offloading materials.

Contractor's vehicles shall not be parked on pavements or adjacent to dropped kerbs (in particular to prevent problems for wheelchair users and visually disabled pedestrians).

Work Area /Site Access

Contractors are responsible for the security of plant, machinery and building materials brought onto University premises for use in connection with the contract works.

The Contractor shall be confined to the area of the works for site facilities and storage of materials, unless agreed otherwise.

Site areas must be fenced off or other effective steps taken to warn and prevent the approach of persons who may be endangered by the operations or entry into the site area. Working areas must be clearly signed indicating any dangers present and the authorisation required for access.

Certain areas of the campus have a very large footfall at night (such as the Arts Centre, Students Union Building and pedestrian routes leading to them). The enhanced risks during the night in these areas necessitate extra precautions to be taken (such as removal of waste chutes at the end of the working day). The Responsible Person will advise on these areas to be taken into account during the risk assessment process.

All Contractors employees, their Subcontractors and visitors to the Site (including University Estates Development and Campus Services staff) are to report to Site Manager and sign in and out.

Where work is carried out in the occupied parts of a building, additional precautions should be taken and the building Caretaker/Manager involved in the planning arrangements, including risk assessment.

Stability

Without the express written consent of the Responsible Person the Contractor is to permit nothing to be done to injure the stability of the existing building that may cause a hazard to the health and safety of any individual. The Contractor will be held responsible for all damage arising through carelessness or inadvertence in this respect.

Site Inductions

The Contractor must ensure that all visitors to the Site, including workers are given an appropriate induction and as a minimum are aware of the following; Hazards present, details of emergency procedures, location of first aid equipment, the names of trained personnel, and any personal protective equipment.

Plant tools and equipment

All plant, tools and equipment used by the Contractor in University premises must be safe and suitable for the work in hand and be manufactured and comply with any relevant legal standards and be maintained accordingly. Only personnel trained in their use should operate or use them and personnel must be competent in the work they are tasked to undertake.

No petrol-powered equipment or machinery (e.g. petrol driven disc cutters, electrical generators etc.) are to be used inside buildings or any other enclosed spaces. This ban applies similarly to other equipment powered by fuels such as diesel or LPG.

Suitability of Personnel

The Contractor must be satisfied with the suitability and competency of all persons engaged to work on the site. Everyone carrying out work on behalf of Contractors must be competent.

Aberystwyth University reserves the right to have any operative or agent of the Contractor removed from the site and project, for reasons of non-performance or acts of misconduct.

Nuisance

The Contractor must ensure as far as is reasonably possible that noise, vibration, dust, smoke and other nuisances are kept to a minimum throughout the contract. Special arrangements may have to be made for particularly noisy or hazardous operations.

Radios or other forms of audio entertainment equipment must not be used while working on the University site.

The Contractor must ensure as far as is reasonably practicable that all services to the building are kept in operation throughout the contract, including water, electricity, gas and also drainage, alarms and telecommunications.

For University operational reasons works may not be undertaken during certain events. e.g. Open / Visiting days, Graduation Ceremonies etc. without the written consent of the Responsible Person.

Protection of the Site

Hazards should not be left exposed and any works should be made safe until completed.

The Contractor is responsible for providing all necessary protection to internal and external fixtures, fittings, finishes and floor coverings during the works and to make good any damaged surfaces at completion.

Disposal of Waste

Contractors are responsible for the proper disposal of all waste created by and during the works. In particular, Contractors must not deposit any chemicals, oil or other waste materials into drains on University premises (including the hosing of soil, cement or other debris into drains).. All building materials and waste must be removed from the premises at the conclusion of the contract (subject to any contractual agreement to the contrary) and where the debris is classified as hazardous, disposed of to a suitably licensed waste contractor. The Contractor must comply with all the duties placed upon him by relevant legislation.

No waste arisings from works shall be placed in any of the University's waste bins, wheely bins etc.

The location and use of skips on University premises must be agreed with the Responsible Person. Any skips used by a Contractor must be provided with lockable lids or doors if combustible materials are to be left in them overnight. In general skips should not be placed adjacent to buildings.

All demolition and dismantling work must be carried out in compliance with current legislation, guidance and best practice. All demolition sites must be fenced off or other steps taken to warn or prevent the approach of persons who may be endangered by the operations.

Where appropriate the Contractor will ensure that it complies with any obligation it has under the Waste (England and Wales) Regulations 2011

Liaison / Meetings / Records

The Contractor shall throughout the duration of the works maintain communication with the Responsible Person.

The Contractor will provide for all on and offsite management and administration including establishment charges.

The Contractor is required to attend a pre-start meeting before commencement of work on site.

The Contractor shall allow for site progress 'walk rounds' where a site foreman/manager will accompany the Responsible Person, in addition to regular meetings, with the Project Team, to be held at an agreed location. The duration of these walk rounds and meetings to be agreed at the beginning of each project.

Records

The Contractor shall keep records as appropriate of the activities on site. In particular a site diary, which will be available for inspection, recording daily, Site resources and labour, site events (weather, disruptions, major deliveries, work covered up, numbers on site for each trade etc).

The Contractor shall arrange for the taking of regular site progress photographs. The photographs shall record all work activities and be digitally dated. Particular attention is required for any areas to be subsequently covered over.

Any installation or modification of underground services shall be accurately recorded on site plans (in addition to photographs). During excavations the discovery of underground services not marked on the site plans shall be drawn to the attention of the Responsible Person without delay.

Reporting

The Contractor is required to provide pre-agreed Reports and Documents for the duration of the Project as set out below:

Contract Programme

Prior to works commencing the Contractor will submit a detailed programme of projected operations, showing all activities required to complete the contract, including Start and Finish dates.

The programme shall be updated as and when required to show progress.

Fortnightly

A progress update of the main contract programme to include a summary of the work completed over the preceding two week period and a two week rolling look ahead report indicating works to be carried out. Specific reference should be made in the report to any Health & Safety issues or concerns.

Cashflow Report

A detailed cashflow analysis report will need to be presented and agreed prior to commencement of the project. Specific reference should be made in the report to any

costs of and occasioned by complying with any Health & Safety obligations as set out in the this document or elsewhere.

Quality Control

The Contractor shall operate a Quality Control system on site, the details of which are to be provided to the Responsible Person before works proceed.

The Contractor shall own, maintain and regularly issue a central register of all quality issues raised by the project. This shall be updated weekly and indicate the following: ID, date raised, issue, whether this is considered by the Contractor to be covered by the contract, originator, status (open, closed), action date and date of closure. The originator must be involved in the decision to close an item.

Failure to Comply

If the Contractor fails to comply with these or any other clauses of the Specification within the stipulated time, the Responsible Person may, on behalf of the Employer, employ other persons to carry out such work at the cost of the Contractor.

Deliveries

No delivery note is to be signed on site, other than by the Foreman/Senior Operative, who should at all times make an inspection of all goods delivered before taking delivery of such items and can safely vouch for their quality. In cases where the materials delivered are faulty, the Contractor shall report to the RP or authorised person who may inspect the goods if deemed necessary.

Snagging

The University operates a zero snags policy to which all parties agree. Notwithstanding this, the Contractor shall instigate and maintain a system for recording all items of non-compliant work, indicating date raised, originator, date for resolution and status (open/closed) plus initials of the originator to confirm that the item has been satisfactorily dealt with. The Contractor shall carry out snagging of the works before offering them to the Responsible Person for review; however any items raised by any party must be entered onto the Contractor's register for action.

Incomplete Works

Works that are not finished by the time of Practical Completion are not snags and must be listed as part of the Handover process.

Defects

Items coming to attention after Practical Completion are defects and a schedule will be maintained by the Responsible Person.

H&S, legal compliance items and those that affect the occupation of premises will be deemed urgent and require immediate attention from the Contractor.

Other items may be grouped and a schedule of works agreed. At all times during the Defects Liability Period the Contractor shall take a proactive, lead role in resolving defects, and assign a dedicated Manager to carry out this task.

Commissioning

The Electrical and Mechanical Contractor shall fully commission all items of plant, machinery, equipment and distribution systems.

Building services will be commissioned in accordance with the manufacturer's requirements and the codes of practice of the Chartered Institute of Building Services.

Commissioning equipment will be properly calibrated in accordance with the relevant British Standard and have a current certificate of conformity.

Handover

On completion of the works at stage completion the Contractor shall have pre-arranged a meeting with the Responsible Person for the purposes of inspecting and approving the works.

At this meeting the Contractor will handover, to the Responsible Person all the documentation as required by the Contract.

Traffic and Parking Regulations

The Contractor, his employees and sub-contractors shall at all times whilst on site comply with the AU Traffic and Parking Regulations. These can be viewed at:

www.aber.ac.uk/en/campus-services/car-parking