

Management of Health and Safety for Work and Services Contractors	
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Authorised Co-ordinator:	Health and Safety Manager (Professional Services)
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Sub documentation:	Projects Construction Process Outline Projects PCI Process Outline Projects CDM Process Outline Contractor Green Book

Approval History

Version	Reason for review	Approval Route	Date
1.0	Reviewed and updated (including in accordance with new Policy Framework). Replaces Management of Health and Safety for Work and Services Contractors Policy (Version 1, dated March 2017).	Compliance (Health, Safety and Wellbeing) Committee	8 December 2022
2.0	3-year cyclical review, including updates relating to regulatory changes.	Compliance (Health, Safety and Wellbeing) Committee	01 October 2026

1. Purpose

The University has a duty to assess the risks posed to the health and safety of its employees and to anyone else who may be affected by its activities. Significant risks identified by this process must be reduced to a tolerable level. This duty extends to managing the risks associated with work undertaken for the University by contractors (including service contractors) it engages. This Procedure establishes the framework for managing all contractor activities at the University.

Furthermore, under the Building Safety Act 2022 (hereafter referred to as BSA), the University has additional obligations to ensure the safety and compliance of its premises, particularly regarding fire and structural safety. As a dutyholder, the University must ensure that buildings within the scope of the Act, including those engaged in constructing, maintaining or providing services to those buildings, comply with the legislation. This includes maintaining a 'golden thread' of information related to fire and structural safety, appointing competent persons to manage fire and safety risks, and ensuring that residents and building users are provided with clear safety information.

Contractors have clear legal responsibilities as duty holders alongside clients and designers. They must actively manage building safety risks and ensure compliance with the BSA throughout the period they are engaged.

2. Scope and Exceptions to the Procedure

The Procedure applies to all persons (i.e., staff, students, third parties and those of University of Surrey subsidiaries) engaging or managing contractors whose work could:

- Adversely affect the health, safety, or welfare of members of the University community and others who are on University premises.
- Cause damage to the environment and the reputation of the University.
- Cause negative impacts upon the business operations of the University.

Specific areas of this procedure will apply to the management of contractors undertaking construction works or works within high-risk buildings (as defined within the BSA).

3. Definitions and Terminology

This Procedure uses the definition of Construction as referenced in the Construction (Design and Management) Regulations 2015 where *construction work* – means the carrying out of any building, civil engineering or engineering construction work and includes:

- The construction, refurbishment, alteration, conversion, fitting out, commissioning, renovation, repair, upkeep, redecoration, or other maintenance (including cleaning which involves the use of water or an abrasive at high pressure, or the use of corrosive or toxic substances), decommissioning, demolition or dismantling of a structure.
- The preparation for an intended structure, including site clearance, exploration, investigation (but not site survey) and excavation, and the clearance or preparation of the site or structure for use or occupation at its conclusion.
- The assembly on site of prefabricated elements to form a structure or the disassembly on site of prefabricated elements which, immediately before such disassembly, formed a structure.
- The removal of a structure or of any product or waste resulting from demolition or dismantling of a structure or from disassembly of prefabricated elements which immediately before such disassembly formed such a structure.
- The installation, commissioning, maintenance, repair, or removal of mechanical, electrical, gas, compressed air, hydraulic, telecommunications, computer or similar services which are normally fixed within or to a structure.

Construction work **does not** include the exploration for, or extraction of mineral resources or activities preparatory thereto carried out at a place where such exploration or extraction is carried out.

Principal Accountable Person – under the BSA, each high-rise residential building must have one clearly identifiable Accountable Person (AP), known as the Principal Accountable Person (PAP) who is legally required to manage the fire and structural safety risks of that building.

Accountable Person(s) - under the BSA, there can be multiple Accountable Persons (APs). This can be an individual or organisation that has significant control over a building or part of a building. Typically, this refers to the person or entity responsible for the maintenance, repair, and management of the common parts of a building, such as corridors, lobbies, and other shared spaces. There may, therefore, be multiple APs for a building or only one (in the case of the latter the AP would be known as the PAP).

The identification of APs will depend on several factors, including the complexity of the building, any tenancy agreements and/or contracts in place, and building usage and ownership.

Work and Service Contractors – an individual person or company that undertakes a contract to provide materials or labour to perform a service or to do a job. Any individual or organisations that carry out construction work (including building, altering, maintaining, or demolishing) and any person or organisation that manages this type of work or employs or engages construction workers is a contractor.

Mandatory Occurrence – under the BSA, refers to incidents or risks that pose a significant threat to building safety. Specifically, it involves events that could cause:

- Death or serious injury to a significant number of people.
- Structural failures in a building.
- The spread of fire or smoke.

These incidents must be reported by the designated responsible parties (e.g., principal designer, contractor, or accountable person) to the Building Safety Regulator within 10 days of identification.

Golden Thread – is a core requirement of the Building Safety Act 2022, designed to ensure that accurate, up-to-date building safety information is maintained and accessible throughout the entire lifecycle of a building. It must be an appropriate single source record of the building which is:

- Secured and easily accessible for all those that need to access, review, and update.
- Clear and easily understood so it can be maintained and updated appropriately.

A golden thread is required for any high-risk building (as defined within the BSA), throughout the key parts of the building's construction and use, such as:

- Design phase,
- Construction phase, and
- Its occupation and continued maintenance phase.

Permit-to-Work (PtW) – is a documented procedure that authorises certain people to carry out specific work within a specified timeframe. It sets out the precautions required to complete the work safely based on a risk assessment. It describes what work will be done and how it will be done; the latter can be detailed in a 'Method Statement'.

Authority-to-Access (AtA) – is a process by which access is controlled to a designated area or site location due to inherent risks within that location.

Competency – a person who has the skills, knowledge, attitude, training, and experience to undertake the role effectively.

Training – is equipping staff, students (and others where the University has a duty of care) with

relevant skills to deal appropriately with a given health and safety situation.

Briefing – is informing all necessary people of relevant knowledge and information in relation to health and safety to ensure safe completion of their task.

4. Procedural Principles

4.1. Commitment

The University will ensure:

- It meets its statutory obligations in respect the management of contractors.
- Members of the campus community and others are safeguarded against death, ill-health, injury, or occupational disease resulting from activities undertaken by contractors and services it engages.
- The risks associated with contractor undertakings are reduced to a level that is as low as reasonably practicable.
- The safe and effective management of contractors working on behalf of the University.
- Everyone is aware of their roles and responsibilities.
- The protection of the University's property, environment, assets, and reputation.

4.2. Arrangements

To meet the above objectives, the University will:

- Confirm that all work undertaken by contractors, for or on its behalf, are carried out in such a manner as to avoid, reduce, or control, all reasonably foreseeable risks.
- Ensure that all necessary works and maintenance contracts are put through effective procurement and tendering processes, such that the University only engages suitably competent, financially viable contractors and service providers. Basic competence can be evidenced through registration with a Safety Schemes in Procurement (SSIP) approved body.
- Ensure all contractors are provided with the necessary information and instructions to undertake their work in accordance with the objectives of this procedure, including completing the requirements of the contractors 'Green Book' safety induction or other equivalent site safety induction.
- Appoint one or more competent persons to ensure the requirements of this Procedure and other relevant legislative/performance standards are met.
- Implement performance standards to ensure contractors work is in accordance with university prescribed health and safety requirements and general behaviour standards.
Note: Performance standards include the requirements within any contract or agreement, or within other relevant university documentation, such as its Construction Design Management (CDM) documentation and the University's Asbestos Management Plan.
- Instigate suitable and sufficient procedures for effective communication, co-operation, and co-ordination of all contractors' work, including specific arrangements in relation to Accountable Persons under the BSA.
- Establish and maintain a robust Golden Thread of information for all high-risk university buildings, as defined by the BSA. The University will ensure that accurate, up-to-date, and accessible building information is maintained to support compliance with all relevant regulatory requirements and safety standards. This will also include clear processes and guidance for contractors and other relevant parties on the use, management, maintenance, and updating of building information, to ensure the safe operation, continued integrity and compliance of university buildings and infrastructure.
- Implement effective arrangements to ensure all contractors are visibly identifiable to other members of the University community. Contractors managed by Estates and Facilities will be issued with Contractor (temporary) ID passes when they sign in at Estates and Facilities.
- Ensure that contractors are only permitted to commence work once they have adequately planned tasks and put appropriate control measures in place to manage and deliver the work

effectively, regarding both health and safety and quality of product. This will be assessed following a review of the works' Risk Assessments & Method Statements (RAMS) and when necessary, as part of any PtW requirements or CDM documentation development.

- Ensure that where work is undertaken directly for the University, there is appropriate oversight of all contractors engaged by an appropriate University staff member, and that this supervision is in accordance with this Procedure and other University safe systems of work.
- Ensure that all works that require intervention, fixing into or alteration of the building fabric, or engineered systems or services including external areas, are planned, managed, and delivered via the Directorate of Estates and Facilities.
- Ensure that when contractors are engaged to carry out high-risk works or access high-risk areas, then those works will be subject to a PtW and/or AtA. Additional control measures will be implemented following a discussion of the work activities with an appropriate Authorised Person. The use of a PtW or AtA will be proportionate to risk.

Note: PtW and AtA will only be issued by suitably competent Authorised Persons (APs), who have the ability to critically assess RAMS and who have the knowledge and control over the work activity and or location, thus ensuring that works are carried out to recognised industry standards.

- Review and audit contractor performance on project or work completion or at set periods as part of a service contract.
- Review contractor management arrangements periodically, or whenever there are changes in relevant legislation, guidance, or University activities.
- Liaise with relevant statutory authorities (i.e., Fire & Rescue Service, Building Safety Regulator) as required by the BSA, and other statutory provisions.
- Provide employees with appropriate information, instruction and training (including refresher training) concerning BSA compliance, CDM, and contractor health and safety management practices.

4.3 Surrey's Construction Work Processes

The University has clearly defined construction work processes (Appendix 1: Contractor Management Process Outlines) and Pre-Construction Information (PCI) documentation that must be followed and completed. The purpose of these documents is to:

- Ensure the University fulfils its statutory responsibilities in relation to the Construction (Design and Management) Regulations 2015 and the Building Safety Act 2022, thus ensuring that risk reduction and risk management for a project is carried out at the appropriate stage of a project's development.
- Ensure that an appropriate PCI document is completed for each construction project and to co-ordinate contractors' work as safely as possible.
- To clearly identify who is responsible for completing any necessary documentation for each part of a construction project, including maintaining the golden thread.
- To have the right information about the risks of any project or construction work and to ensure these risks are known and appropriately managed.
- To ensure adequate co-ordination of a project between contractors and other key stakeholders (e.g., other contractors, university stakeholders, and Tenants).

4.4 Roles and Responsibilities

In the case of qualifying high-risk buildings, the following two roles are defined regarding contractor and service contract management.

4.4.1 Principal Accountable Person (PAP) is responsible for:

- Ensuring that all relevant building safety risks, particularly fire and structural risks, are assessed and managed effectively.
- Registering qualifying buildings with the Building Safety Regulator (BSR) and keeping

- registration details updated within statutory timeframes.
- Where applicable, regularly reporting to the BSR any significant changes to building structure, fire safety arrangements, or risk assessments, post any contractor or service contract works.
 - Co-operating with inspections, investigations, or enforcement actions initiated by the regulator.
 - Preparing and maintaining a building safety case report for each qualifying building, detailing its risks (fire and structural), demonstrating how these risks are being managed and mitigated, and updating whenever significant changes occur (during and post any contractor works).
 - For qualifying buildings, ensuring the golden thread of information is maintained by all relevant parties, including engaged contractors.
 - Ensuring compliance with the BSA and any associated regulations, which may involve maintaining and updating safety systems, keeping records, and engaging with residents.
 - Ensuring contractors and service providers are competent under the BSA and other relevant regulations, including appropriate due diligence is performed.
 - Ensuring there are appropriate contractor management practices in place, including arrangements for monitoring and supervision.
 - Co-ordinating works with principal contractors, designers, and other duty holders (such as Accountable Persons) to ensure safety compliance during construction or service contracted works.
 - Report any significant safety incidents, known as 'Mandatory Occurrence Reporting', to the BSR, thus ensuring major safety breaches or near-misses are investigated and rectified promptly. All incidents must also be reported to the University's Central Health and Safety Team.

Note: In the context of university buildings, the PAP will be the Council of the University. The duties identified above may be delegated to Accountable Persons and or other roles defined within this Procedure, however, overall responsibility for ensuring compliance with the BSA is retained by the PAP.

4.4.2 Accountable Persons (APs) will be identified and are responsible for:

- Implementing the requirements of this Procedure, including a system for the effective management of contractors within their area of responsibility.
- Ensuring that construction work is approved in writing by Estates & Facilities Head of Built Environment Projects, before any works commence.
- Ensuring that all projects involving construction work are conducted through the Estates & Facilities Planning & Development Team, Maintenance Services Team, or an approved third party and in accordance with the CDM process.
- Ensuring that contractors working with high-risk buildings are aligned with safety case requirements, reporting standards, and documentation protocols.
- Assisting the Procurement Team and Estates & Facilities in any tender process relating to contractor work and service contracts, particularly for specialist and building lifesaving and emergency systems.
- Confirming that there is a detailed, up-to-date digital record of all fire and structural safety information (referred to as the 'golden thread'). This will include design, construction, maintenance, and safety management documentation. This will be maintained throughout the lifecycle of the building, including after any contractor works.
- Assisting in the preparation and maintenance of a safety case report for the building.
- Liaising with residents and building occupants about any contractor works, particularly in relation to fire and structural safety measures, including how to report

safety concerns.

- Submitting an Accountable Person Certificate to the Building Safety Regulator in accordance with reporting requirements. This certificate confirms that the building is compliant with the BSA and that all necessary safety protocols are in place.
- Monitoring and supervising contractor and service contracts works, including reviewing contractor RAMS and safety plans, and ensuring that mitigations are in place as specified.
- Authorising work methods and temporary works of contractors.
- Cooperating with inspections, investigations, or enforcement action initiated by the regulator.
- Ensuring that all safety measures (fire alarms, sprinklers, fire doors, etc.) are properly installed, maintained, and operational, addressing any safety issues or defects promptly. For certain life and fire safety systems, if issues cannot be rectified within 24 hours of discovery, the University will, as soon as reasonably practicable, notify the Fire & Rescue Service.
- Reporting any safety incidents that may be deemed a Mandatory Occurrence to the PAP. Also report any safety incidents relating to contractors and work practices to the University's Central Health and Safety Team, assigned project manager and the lead contractor managing the works.

Note: It is possible that in limited circumstances a contractor (including a service contractor) may be an Accountable Person under the BSA. This may be for a defined period during which works are completed or for a contracted period of service provision. Furthermore, where a property managing agent is engaged, this agent may be considered an AP where they are contracted to have a legal estate or repairing obligation to the high-risk building. However, under a simpler management contract, without a legal estate or repairing obligation, they cannot be deemed an AP or PAP. Under such circumstances, they will assist in the completion of the above duties but cannot assume any statutory responsibility for their completion.

All following responsibilities can be delegated, unless otherwise stated, but it remains the responsibility of the named roles to ensure they are completed in accordance with this Procedure and that those they delegate any responsibility to, is adequately competent to fulfil the responsibility.

4.4.3 Heads of School/Department/Directorate (or other Senior Manager as administratively appropriate) have overall responsibility for:

- Implementing the requirements of this Procedure, including a system for the effective management of contractors engaged within their area of responsibility.
- Appointing Competent Person(s) to assist them with the execution of their responsibilities and agreeing the arrangements for their involvement in any work, along with such other measures necessary for the execution of their duties.
- Formally identifying the roles and responsibilities of their staff in respect of the day-to-day management of contractors and contracted work.
- Applying for such resources as are appropriate to discharge the University's statutory obligations and requirements of this procedure.
- Periodically reviewing, with Competent Person(s) (and other relevant staff), the effectiveness of the above management arrangements.

The Director of Estates and Facilities along with PAP and AP is also responsible for establishing and maintaining a robust Golden Thread of information for all higher-risk university buildings, as defined by the BSA. The Director of Estates and Facilities is also required to ensure that accurate, up-to-date, and accessible building information is in

place to support all necessary university operation and to ensure compliance with all relevant regulatory requirements and safety standards. This will also include clear processes and guidance for contractors and other relevant parties on the use, management, maintenance, and updating of building information to ensure the safe operation and continued integrity of university buildings and infrastructure is maintained to necessary compliance standards.

Note: Overall responsibility for most contracted works will sit with the Director of Estates and Facilities, however, as this Procedure applies to all work and service contractors, the same responsibilities will also apply to Deans and other Service Directors, where such contractors are engaged to undertake work on behalf of that Faculty/Directorate.

4.4.4 Director of Procurement, for any contractor of service contracted works that meets the University's Procedure set threshold limit, is responsible for:

- Approving the appropriate SSIP body and maintaining the pre-qualification criteria of contractors.

Note: The Head of Built Environment Projects and the Head of Maintenance, along with other selected appointed people (such as APs), will support the Director of Procurement, by setting out contractor competency requirements and working with the procurement category manager to ensure that contractors meet the minimum requirements prior to appointment.

- Developing necessary contracts, perform necessary tendering practices, including the collection and review of essential documentation as part of contractor due diligence practices.
- Ensuring agreed university procedures and practices, including health and safety standards and responsibilities, are included within contractor and service contract agreements.
- Assisting other key stakeholders in the assessment and approval of contractors and service contracts that they are supporting.
- Aligning procurement decisions with university established health and safety objectives and strategy.
- Where necessary, assessing product and material safety standards as part of contractor works and projects.

4.4.5 Director of Health and Safety is responsible for:

- The provision of advice and guidance on the application of the requirements of legislation and this Procedure.
- Where necessary, liaising with the enforcement authorities.
- Assisting with and collaborating on the investigation of any safety incidents relating to contractor practices and bringing to the attention of relevant duty holders any significant issues arising. This includes ensuring any incidents that could be deemed a Mandatory Occurrence, are reported to the appropriate PAP and APs for high-risk buildings.
- Advising on and supporting the provision of any training for university staff relating to the health and safety management of contractors.

4.4.6 Contractors are responsible for:

- Ensuring that they and all those who work for them, including other third-party companies they have engaged, complete the university provided health and safety site inductions.
- Ensuring that all works are completed as per the requirements in any PCI

documentation, construction phase plan or as requested by Surrey competent person(s), and as specified within any AtA or PtW requirements.

- Completing all necessary RAMS and supplying them to their University point of contact within a reasonable timeframe, and before the work is due to start.
- Requesting local information from the University for any potential risks to themselves, to those that they employ or to third parties, in particular any asbestos information for their area of work.
- Adhering to the requirements of any other safety procedures, notably the Management of Asbestos Procedure. Note: Contractors' point of contact at the University should bring to the attention of the contractor any procedures they must be aware of and provide them with copies to read, so they understand their obligations.
- Ensuring that any contractors they employ or engage to work for them, have the necessary competencies, knowledge, and skills to complete the work to the University standards and ensuring good safety practices are met.
- Making the client aware of any client duties they have under the current CDM regulations.
- Planning, managing, and monitoring all work carried out by themselves, their workers or any third party they engage, considering the risks to anyone who might be affected (including Surrey University staff, students, and visitors). Ensuring that adequate measures are put in place to protect all persons that could be impacted from any reasonably foreseeable risks.
- Ensuring they do not start work on site unless reasonable steps have been taken to prevent unauthorised access, and to comply with any requests to maintain or improve site security.
- Coordinating their work with any other parties involved in the project, including University stakeholders, as necessary.
- Providing appropriate supervision, information, and instructions to any workers under their control.
- Ensuring adequate welfare provisions have been organised with their point of contact at Surrey University.
- Providing all necessary information back to the university to ensure that the golden thread of information is maintained. Contractors will be required to provide this information in the format requested by the University.
- Co-operating with any buildings PAP or Aps.
- Ensuring compliance with the BSA and any associated regulations, which may involve maintaining and updating safety systems, keeping records, and engaging with residents.
- Reporting any incidents (including significant near misses) to their assigned point of contact.

4.4.7 Staff Commissioning Contractors (excluding construction works) are responsible for:

- Checking that contractors are competent, including keeping associated documentation on file relating to any contractor due diligence performed.
- Providing contractors with suitable and sufficient information and instruction regarding control measures for local hazards that exist in the areas in which they will be working.
- Confirming contractors are in possession of a suitable and sufficient risk assessment (and method statement) covering all the work activities. Ensuring that they follow the developed safe systems of work, including PtW and AtA processes.
- Ensuring contractors are provided with an induction (Contractors Green Book' or equivalent), and any applicable laboratory or other high-risk area procedures, before commencing works. An appropriate record of these inductions must be kept and

stored. All inductions must be adequately refreshed, at least annually.

- Making sure contractors are easily identifiable to other members of the University community whilst working on site.
- Reporting any contractor incidents, including near misses reported to them by any contractors or service contractor via the university health and safety reporting system or to their health and safety team representative.

Note: In the situation where an appointed agent has been engaged to manage external contracts or contractors, it is the responsibility of the University stakeholder commissioning the appointed agent, to make them aware of the requirements of this Procedure and to ensure it is followed.

Contracted works under the management and supervision of Estates and Facilities

4.4.8 Staff Commissioning Contractors (Construction Contractors), in addition to the requirements in Section 4.4.7, and University employee commissioning construction contractors shall also be responsible for:

- Ensuring that the construction work is approved in writing by Estates & Facilities Head of Built Environment Projects, before any work commences.
- Ensuring all construction work projects are conducted through the Estates & Facilities Planning & Development Team, Maintenance Services Team, or an approved third party and carried out through the CDM process.
- Providing all contractors with suitable and sufficient information regarding the University's Management of Contractors procedures and other health and safety standards.
- Assisting with the investigation of any incident, including near misses relating to construction work and/or contractor activities that they are responsible for overseeing, including that these are reported via the University's incident reporting system.
- Allocating sufficient time for contractors under their control, to plan and undertake the work safely, and in accordance with industry standards.
- Ensuring all work on building fabrics and services is coordinated by a suitably competent person(s) in accordance with this procedure and any other related procedures.
- Ensuring contractors co-operate with the University to meet the requirements of this Procedure and Our Safety Policy, with any failure to co-operate being reported either to the Head of Maintenance or the Head of Built Environment Projects.

Note: In the situation where an appointed agent has been engaged to manage external contracts or contractors, it is the responsibility of the University stakeholder commissioning the appointed agent, to make them aware of the requirements of this procedure and to ensure it is followed.

4.4.9 Head of Built Environment Projects is responsible for:

- Assisting the Procurement Team with contracted works that exceed the procurement threshold limit, including determining competency requirements and assessing the suitability of all contractors under the control of the Estates and Facilities Planning and Development Team.
- Ensuring that all applications to undertake construction work at the University are considered in a timely manner.
- Ensuring that all approved construction works are designed and performed by competent persons. Where approved construction works are notifiable to the Health and Safety Executive (hereafter called notifiable projects) that relevant appointments

- have been made and that those appointed are competent to undertake their duties.
- Ensuring that approved construction and engineering works are managed and carried out by suitably competent persons in accordance with other University Procedures.
 - Arrangements to ensure that all contractors are visibly identifiable when working on university premises.
 - Sufficient competent persons, including Authorised Persons (see below), are appointed to ensure that construction works can be properly managed on behalf of the University.
 - Ensuring where any duties relevant to notifiable projects cannot be met, for whatever reason, these are reported to the Director of Estates and Facilities.
 - All contractor works under the control of Estates & Facilities Planning and Development Team are appropriately planned and organised, engaging with all necessary University stakeholders to ensure the least amount of disruption to essential services. Where necessary, any disruption to essential University services will be adequately controlled or mitigated in relation to the potential impact to the University.
 - Sufficient resources are available for the review of the contractor's quality of work and work practices, including where necessary performance reviews.
 - Assisting with the investigation of any incident, including near misses relating to construction work and contractor activities that they are responsible for overseeing, including that these are reported via the University's incident reporting system.
 - Implementation of the contractor management system, which ensures there is control over contractor's work on site.

4.4.10 Head of Maintenance Services is responsible for:

- Assisting the Procurement Team with contracted works that exceed the procurement threshold limit, including determining competency requirements and assessing the suitability of all contractors under the control of the Estates and Facilities Maintenance Department.
- Confirming that all contractors engaged by Estates and Facilities Maintenance or who perform contracted services under their control, are sufficiently competent to do the work they are engaged to perform. Where necessary a record of contractor due diligence is kept on file for contractors that do not meet the Procurement Team threshold limit.
- Ensuring there are adequate safe systems of work in place for the control of contractors, including a PtW system.
- Sufficient competent person(s), including Authorised Persons (see below), are appointed to ensure that work can be properly managed on behalf of the University.
- Ensuring there are competent person(s) who critically assess RAMS, to ensure contractors are performing work to all necessary standards. Including that these competent persons(s) are identified within any established safe system of work (including any PtW or AtA requirements).
- Sufficient resources are available for the review of the contractor's quality of work and work practices, including where necessary performance reviews.
- Implementation of the contractor management system, which ensures there is control over contractor's work on site.
- Implementing a system for the adequate site induction of contractors, which ensures all essential site safety information is available prior to coming onto site or performing any work on site.
- Assisting with the investigation of any incident, including near misses relating to construction work and contractor activities that they are responsible for overseeing, including that these are reported via the University's incident reporting system.
- Ensuring all contractor work under the control of Maintenance Services is

appropriately planned and organised, engaging with all necessary University stakeholders to ensure the least amount of disruption to essential services. And where necessary, any disruption to essential University services will be adequately controlled or mitigated in relation to the potential impact to the University.

4.4.11 Principal Designer and CDM Manager is responsible for:

- Supplying 'Client' Pre-Construction Information to designers and contractors, offering CDM strategic guidance to the project team, and ensuring the 'Principles of Prevention' and risk management are implemented with any residual risk captured.
- Liaising with the Principal Contractor and ensuring they receive Pre-Construction Information from the University (as CDM Client).
- Preparing F10 notifications on behalf of the University (as Client), reviewing the submission of the contractors 'Construction Phase Plan' to ensure that it complies with relevant industry standards.
- Ensuring that they receive, from the contractor, Health and Safety File information, Operations and Maintenance manuals (O&M's) "as built" drawings, to include residual risk for the Health and Safety File, ensuring that this information is passed on to the relevant stakeholders within the University.
- Checking that Principal Contractors are undertaking their duties under the CDM and BSA Regulations and conducting their work in accordance with both industry and University requirements.
- Liaising with all necessary university stakeholders, including the PAP or any APs.
- Supporting any PAP, APs and University Project Managers in ensuring appropriate building records are maintained as required by Estates and Facilities' data management practices and applicable regulations such as CDM and BSA, including the creation and updating of the Golden Thread.
- Offering guidance and advice relating to the CDM Regulations, including written guidance on university performance standards to Project Managers, University Stakeholders and, where necessary, external third parties.

Note: Large construction projects or work in more complex environments may require a collective approach, where one individual may not have the necessary skill set or to be able to carry out these requirements on their own. In this situation performing these duties may be undertaken by multiple competent person(s) on behalf of the Principal Designer, but this must be carried out with their oversight. Clear accountability should be established within the team to ensure that each of the above duties is assigned to a team member competent to undertake that element of management.

4.4.12 Project Managers are responsible for:

- Developing satisfactory risk management plans to enable them to undertake their work without unacceptable risk to the contractor(s), members of the campus community or any other persons which the work might affect.
- Facilitating the provision of adequate arrangements to provide, or gain access to, welfare facilities throughout their contract to engaged third parties.
- Ensuring contractors are provided with relevant information on existing hazards present at the University in line with established safe system of work, and in accordance with other relevant procedure documentation, particularly the provision of asbestos information at a projects design stage.
- Issuing written authorisation to commence works before they start on site.
- Ensuring contractors complete induction before commencing work, including completing the necessary 'Green Book' confirmation form.
- Ensuring contractors are monitored/supervised at intervals proportionate to the risks posed by the work, and in line with other relevant procedures and contract

- performance requirements, including in relation to any PtW system.
- Ensuring contractors co-operate with the University to meet the requirements of this Procedure and Our Safety Policy, with any failure to co-operate being reported to the Head of Built Environment Projects.
- Assisting with the investigation of any incident, including near misses relating to construction work and contractor activities that they are responsible for overseeing, including that these are reported via the University's incident reporting system.
- Liaising with all necessary university stakeholders, including the PAP and any APs.
- Ensuring appropriate building records are maintained as required by Estates and Facilities' data management practices and applicable regulations such as CDM and BSA, including the creation and updating of the Golden Thread.
- Assisting the Head of Built Environment Projects with contractor approval and due diligence in support of the Procurement Team.

Note: Large construction projects may require oversight and management by a team of project managers; in these instances, it will be acceptable for the overall competency requirements to be met by the team rather than by an individual. Clear accountability should be established within the team to ensure that each of the above duties is assigned to a team member competent to undertake that element of management.

Note: Other roles within the Estates and Facilities Directorate will have specific duties which contribute to the effective management of contractors (e.g., Building Surveyor, Quantity Survey and Design Manager, etc.). Their responsibilities are identified within the job specification.

5. Governance Requirements

5.1. Implementation: Communication Plan

This Procedure will be available via the University procedures webpages. This Procedure is also available on the University Health and Safety Intranet site and on the Estates and Facilities Contractor Management pages.

Relevant Health and Safety Committees and EF/CS Committees will be notified, and information disseminated through line management. Faculty Health and Safety Committee will also be informed, as required.

This Procedure is also referenced and linked to via the Staff Health and Safety Handbook.

This Procedure will be brought to the attention of stakeholders via a range of media, including:

- SurreyAlert
- SurreyNet
- Induction Training

5.2. Implementation: Training Plan

Any staff member managing contractors or service contracts must be competent, and this will be dependent on the extent and level of work that is being carried out. Contractor Health and Safety Management training is available for all staff who have contractor or service contract supervisory and management responsibilities. The need for this training is determined by local risk assessments and training needs analysis for each area. This training will be refreshed every five years or when there is significant change to established regulatory compliance or university contractor management arrangements.

Specialist training such as Temporary Work Coordinator Training, NEBOSH Construction General Health and Safety Certification, and Construction, Design and Management qualifications, is

performed as required, and based on training needs assessment within each School/Department/Directorate. These assessments will determine such training by job role or assigned staff responsibility. Such training will be provided by externally accredited training providers and refreshed based on training certificate expiration dates or industry standard refresher training periods.

All contractors must be assessed as competent prior to being engaged and coming onto site for the first time. Estates & Facilities must also have passed the Green Book Induction questionnaire on their first visit. All contractor health and safety induction processes used across the university must be refreshed annually for all contractors.

Training and briefings will be made available in a range of formats according to the needs of the trainees and different groups of staff, students, and others.

5.3. Review

The Estates & Facilities Head of Built Environment Projects, Head of Maintenance, Principal Designer and CDM Manager, and Director of Health and Safety will monitor for required changes and updates. Minor changes will be reviewed by the Estates & Facilities and Commercial Services Health and Safety Management Group and approved by the Compliance (Health, Safety and Wellbeing) Committee. Major reviews will also be reviewed by the Estates Facilities and Commercial Services Health and Safety Management Group and Compliance Management Group, prior to submission to Compliance (Health, Safety and Wellbeing) Committee for approval, and if required, noted at Executive Board.

This Procedure will be reviewed every three years or in line with relevant changes in legislation, if sooner. The Health and Safety Consultative Committee will be consulted during the review process, as required.

5.4. Legislative Context and Higher Education Sector Guidance or Requirements

5.4.1. Applicable Legislation

This Procedure is in accordance with the requirements of:

- The Health and Safety at Work Act 1974.
- The Management of Health and Safety at Work Regulations 1999.
- The Construction (Design and Management) Regulations 2015 (CDM).
- The Control of Asbestos Regulations 2012.
- Reporting of Injuries, Diseases, and Dangerous Occurrences Regulations 2013.
- The Building Safety Regulations 2022.

5.4.2. Legislative context

This Procedure sets out to comply with the required 'duty of care' placed upon the University. Under Health and Safety Law, a required 'duty of care' is generated between organisations and individuals when carrying out activities that could foreseeably cause harm. The duty is owed through the employer-employee relationship and extends to assurance that services provided by others (like contractors) are undertaken safely. With the level of assurance provided commensurate with the risk of the activity undertaken. In addition, anyone carrying out an activity owes a 'duty of care' to anyone who may be put at risk by said activity, such as students, staff, and visitors.

This duty of care cannot be delegated away; instead, the act of delegation must be accompanied by a realistic and workable system of monitoring or supervision to ensure that the delegated task has been adequately implemented (i.e., the responsibility is not met by giving directions; it is met when those directions have been confirmed as carried out). The result is a cascade of delegated accountability that runs throughout the organisation via the line management network, accompanied by a system of monitoring, supervision, and feedback.

It is a requirement of the University, as the insured body, to comply with all regulations imposed by any competent authority and take all reasonable precautions to prevent or minimise accidents, loss, injury, or damage. In addition, the University will comply with appropriate guidance and recommendations from relevant professional bodies, wherever reasonably practical.

5.5. Sustainability

Although this procedure has no direct impact on sustainability and establishes organisational control to ensure the safety of contractors and other parties on Surrey managed sites, it is noted that there is an indirect link from this procedure to the impacts on sustainability practices of contractor services and actions. Contractor activities can affect the University's ability to meet its sustainability goals and ambitions; therefore, all contractor works and projects must consider sustainability in its design and implementation, including the waste products produced by these works or services.

6. Stakeholder Engagement and Equality Impact Assessment

6.1. An Equality Impact Assessment was reviewed on **05/08/2026** and is held by the Authorised Coordinator.

6.2. Procedure communicated to all subsidiaries on **15/10/2026**

6.3. Stakeholder Consultation was completed, as follows:

Stakeholder	Nature of Engagement	Request EB Approval (Y/N)	Date	Name of Contact
Governance	3-year cyclical review of existing Procedure	N	05/08/2026	Kelley Padley, Governance Officer
Director of Health and Safety	3-year cyclical review of existing Procedure	N	05/08/2026	Matt Purcell, Director of Health and Safety
Compliance Management Group	3-year cyclical review of existing Procedure	N	05/08/2026	Members of this Group
Health and Safety Consultative Committee	3-year cyclical review of existing Procedure	N	05/08/2026	Members of this Committee
Equality, Diversity and Inclusion	3-year cyclical review of existing Procedure	N	05/08/2026	Jo McCarthy-Holland, Equality & Diversity Advisor
Sustainability	3-year cyclical review of existing Procedure	N	05/08/2026	Martin Wiles, Head of Sustainability
Health and Safety Managers and	3-year cyclical review of existing	N	05/08/2026	Health and Safety Managers and

Advisors	Procedure			Advisors
EF/CS Health and Safety Management Group	3-year cyclical review of existing Procedure	N	05/08/2026	Members of this Group
Academic Freedom of Speech	3-year cyclical review of existing Procedure	N	05/08/2026	Professor Josh Andersen (Law)