

Code of Practice

UNIVERSITY ASBESTOS MANAGEMENT ARRANGEMENTS

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1 INTRODUCTION

Asbestos is the name given to a group of naturally occurring fibrous minerals that were used extensively in the building and construction industry in the UK until the year 1999.

Due to its range of natural properties such as being a good acoustic and thermal insulator and also having a high tensile strength whilst being cheap it was used throughout buildings constructed up to this date.

It has subsequently been discovered that when materials containing asbestos are disturbed or damaged allowing the asbestos fibers to be breathed in there is a significant risk to health.

Asbestos is responsible for approximately 5000 deaths per year in the UK and is a group1 carcinogen which means proven to cause cancer in humans. Detailed legislation has been issued around the methods needed to manage asbestos materials located within buildings, and this document describes how the University of Warwick are achieving this compliance.

This document has been produced to cover operational issues arising in relation to the University's Asbestos Policy and details the management arrangements of the Estates Office to comply with the requirements of the Control of Asbestos Regulations 2012 (CAR).

Guidance can be found within section 9 of this document on the arrangements established for off campus residential accommodation that is leased out by the University under the terms of its leasing scheme. These management arrangements apply to all building / parts of buildings under the control of the University.

The objective of the management arrangements is to protect students, employees, third party occupiers and contractors who may come across asbestos in the course of their day-to-day activities and others who may be at risk from the potential release of asbestos fibers into the atmosphere.

The presence of an asbestos-containing material (ACM) in itself does not constitute a danger. There is a potential risk to health if ACMs are disturbed and fibers are released and become airborne.

The responsibility for ensuring legal compliance in managing ACMs within the fabric of the Estate rests with the Director of Estates to whom the Vice Chancellor has delegated the duty to manage, however all employees of the University have an obligation to assist in complying with that duty.

The Director of Estates will establish and resource a Compliance and Assurance Team who will be tasked with ensuring the day to day adherence to these arrangements and shall be a source of technical advice and guidance to other University staff and external contractors.

The Asbestos Compliance Manager is identified as the subject matter expert and shall take the lead in ensuring that the day to day management and long term strategy of asbestos management is achieved.

Heads of Departments must ensure that the principles and arrangements outlined within the following documentation will be actioned, endorsed and supported throughout their areas of responsibility within the University.

The University of Warwick Asbestos Policy is available on the University website and on the following link: https://warwick.ac.uk/services/healthsafetywellbeing/guidance/asbestos/asbestos_policy_v1.1_05_02_16.pdf

2 ASBESTOS MANAGEMENT

The University of Warwick in recognition of its duties under the Health and Safety at Work etc. Act 1974 and the Control of Asbestos Regulations 2012 towards its employees, students, visitors, tenants, contractors and members of the public, undertakes to manage responsibly all asbestos-containing materials situated within buildings / parts of buildings under its control.

The Asbestos Management Team (AMT) located within the Compliance and Assurance Team will ensure that an assessment to determine the presence of asbestos is undertaken for all buildings for which it is responsible. The assessment will be carried out in accordance with the guidance set out in the Health and Safety Executive guidance documents HSG264 and HSG227.

The AMT will keep an up to date register of all identified asbestos containing materials including an assessment of their risk. This register shall also include a management action assigned to each identified asbestos containing material. The Management actions shall be one of the following choices;

- 1. Manage** (The material is in good condition and can remain in situ being subject to regular re-inspections).
- 2. Remediate** (The material requires limited work such as encapsulation to improve its condition to a "Manage" state).
- 3. Remove** (The material is in poor condition or is located in a position generating significant risk of damage and should be removed).

Upon completion of an asbestos management survey any items identified as requiring remedial work or removal will be actioned by the AMT using the annual asbestos budget identified for such works.

The University will use the combined risk assessment scores derived from the material and priority assessments to determine any additional asbestos removal works programmes are undertaken on a highest risk first basis.

The AMT will ensure that the information is kept up to date and is available to those who need it prior to the commencement of any work.

The University will ensure that a suitable electronic asbestos management system is provided (Q2) to store and make available information relating to the location and condition of asbestos containing materials and also to keep detailed information relating to asbestos removal works including all associated certification and paperwork (Estates Office M:Drive). The asbestos management system will also be used to manage the in-house re-inspection process and ensure that any changes to known or presumed asbestos materials' condition, including visual appearance and room usage are recorded (with the older data being retained within a secure archive). Where a material has been removed this will also be updated.

The AMT will at the request of Heads of Departments ensure that all employees and agency staff involved in the management and maintenance of University buildings or those who have the potential to be exposed to asbestos as part of their work activities receive adequate information, instruction and training. All University appointed

contractors who have the potential to disturb asbestos will be required to show evidence of information, instruction and training i.e. UKATA Asbestos Awareness in line with the guidance given in the HSE approved code of practice L143 “Managing and working with asbestos” to University staff, as part of the vetting procedure prior to undertaking work for the University and will be required to demonstrate any subcontractors working on their behalf have also received training in line with this guidance.

The University will not undertake or contract out work to any building without adequate information on the nature, condition and extent of any asbestos-containing material likely to be disturbed.

Persons commissioning work will consult the Asbestos Management Team and or the Asbestos Register (held on Q2) to ensure that any person undertaking work within the building is informed of the location of any asbestos-containing material which is in the vicinity of that work, and also to be advised if any project specific additional asbestos surveys are required ([Appendix 5](#)).

Prior to any additional surveys being carried out, the Commissioning Officer / Project Manager will provide all relevant scoping information, and where the consultancy deems necessary facilitate a pre start walkthrough on site with the consultant to agree the scope of the survey and all arrangements including site access; isolation of services; removal of obstructing items; if a removal contractor will be required to attend during the survey to construct any required enclosures; if any air testing will be required following the taking of intrusive samples; and any specialist access equipment required to allow the survey to be undertaken successfully.

This information will be documented and logged on the University's Asbestos Survey Scoping Form ([Appendix 6](#)) which must be signed off by both parties prior to any survey works commencing to indicate the agreement of the survey scope.

The start of the onsite works shall also be agreed along with the anticipated report completion date, these dates shall be forwarded to the Commissioning Officer / Project Manager via email along with the Survey Scoping Form ([Appendix 6](#)) for the agreed survey works.

The appointed university framework licensed asbestos removal contractors may carry out work on known or suspected asbestos containing materials in buildings or parts of buildings for which the University has responsibility. It will not be acceptable in any case for a contractor with only non-licensed work training to undertake asbestos removal or remedial works.

The University will carry out regular re-inspections ([Appendix 4](#)) of all identified ACMs/presumed ACMs using the in house Compliance Surveyor/s or framework provider for Asbestos containing materials identified within the register (Q2). These inspections will be carried out at annual intervals unless deemed to be needed more frequently by the Asbestos Compliance Manager. When required the University may engage the framework contractor who provides asbestos surveys to undertake the re-inspections on the University's behalf, again ensuring the University process is followed ([Appendix 4](#)).

Priority of periodic ACM re-inspection will be given to sites deemed higher risk based on factors including but not limited to total risk assessment scores, ACM type i.e. friable materials such as insulating board and thermal insulation, condition of the ACM and subsequent surveyor recommendation following a survey or re-inspection i.e. 'remove' or 'remedial'.

Upon completion of an asbestos re-inspection any items identified as requiring remedial work or removal will be actioned by the AMT using the annual asbestos budget identified for such works.

2.1 Decision making rational regarding asbestos risk assessment scores

Regardless of any asbestos risk assessment scores, if an identified ACM is reported to be in a poor condition and is at risk of being disturbed by the building occupants it shall be removed or the condition improved by means of repair or improvement to surface treatment. In instances where the ACM poses a significant risk of human exposure and or spread of asbestos by uncontrolled activities, the area(s) shall be isolated to prevent human occupancy until the required asbestos abatement works has completed and the area is deemed safe for re-occupancy.

Immediate action shall be carried out to isolate and or remove high risk ACMs defined as high friable materials in a poor condition with potential to cause significant exposure to building occupants. ('Friable' – the ability to release airborne fibres)

Should identified ACMs be deemed likely to be disturbed by planned works or responsive maintenance activities the product(s) shall either be removed or 'worked on' by the university approved licensed asbestos contractors before the planned works or maintenance works commence.

The University will make sure that secure storage (whether in hard copy or in electronic form) is in place for all records and certification relating to asbestos surveys, asbestos removal and asbestos air testing. These records will be retained by the University for the Life of the building to which they relate plus 40 years.

If an incident occurs where there is an uncontrolled release of suspected asbestos, the person discovering the release will immediately inform the person commissioning the works and the Asbestos Management Team who will follow the asbestos Emergency Procedures ([Appendix 2](#))

Any such incident is to be reported to the Health and Safety department via the online SHEAssure Health and Safety incident report form at <http://www2.warwick.ac.uk/services/healthsafetywellbeing/incidents/> and the Compliance and Assurance Team using the Asbestos Incident Investigation Form ([Appendix 9](#)). Details of the incident and corrective measures taken will be recorded on this form by the AMT and forwarded via email to the Health and Safety department within 24 hours so that a formal investigation may be carried out if deemed necessary.

Where an investigation concludes there has been a willful breach of these arrangements then appropriate disciplinary measures will be taken by the University.

The University will **NOT** accept for any reason the importation of asbestos containing materials (whether as components or contaminants) onto its grounds or into its buildings.

Should this situation be discovered then the responsible person/s or organisation/s will be expected to pay in full the cost of safely removing those materials using the University appointed framework contractors and also the cost of re-instating with suitable non asbestos containing materials. This applies even when the importation of asbestos is unintended, such as where contaminated hardcore is brought onto site.

The only possible exception to the above rule may be for medical research purposes, however, the AMT must first be consulted.

This set of arrangements will be reviewed at least annually and following any changes to relevant Legislation, Approved Code of Practices or HSE guidance by the Asbestos Compliance Manager. Any required changes will be made and recorded and any other suggested changes such as to existing procedures or changes in responsibilities

will be submitted to both the University Asbestos Management Group and the Estates Strategic Health, Safety and Wellbeing Group for consideration.

The arrangements will also be reviewed by the Asbestos Compliance Manager and Central Health and Safety Team following any incident involving asbestos to identify if any areas for improvement can be identified.

3 ROLES AND RESPONSIBILITIES

3.1 Vice Chancellor and the University

The vice chancellor of the University is Responsible for ensuring;

- Adequate financial resources are made available to deliver the commitments set out in these arrangements.

3.2 Duties of the Group Finance Director

The accountability for ensuring legal compliance with regards to Asbestos Management rests with the Group Finance Director, who has delegated the responsibility for the discharging of these duties, with respect to Asbestos Management, to the Director of Estates.

The Group Finance Director remains accountable for:

- Ensuring adequate budget and resource are proportionate to the tasks and activities identified within the Asbestos Management Surveys and any training required to ensure compliance of Asbestos with the relevant legislation and guidance.
- Ensuring that non-compliances notified to them are addressed, without undue delay.

3.3 Director of Health and Safety

The Director of Health and Safety is responsible for advising on the standards and regulations that must be achieved in order to meet legal requirements; for keeping the University's Health, Safety and Wellbeing website up to date with the related arrangements, instructions and guidance; and for ensuring that spot checks and audits are carried out and reported into the University's Governance structure.

3.4 Director of Estates

The Director of Estates has the responsibility for ensuring that the arrangements for asbestos management within the fabric of the estates of the University are satisfactory. They shall, along with the Vice Chancellor ensure that adequate resources are made available to allow the implementation of this document.

The Director of Estates will work in conjunction with the Director of Health and Safety, the Head of Compliance and Assurance and the Asbestos Compliance Manager to:

- Develop the asbestos register to maintain accurate information and risk assessments on asbestos containing materials located in University buildings.
 - Develop appropriate systems for asbestos management and monitor their implementation.
 - Implement procedures for training and communicating relevant information on asbestos and these management arrangements to all relevant staff. ([Appendix 3](#)).
 - Ensure that robust asbestos management reporting structures are established and reviewed regularly to monitor their effectiveness.
 - Ensure that there are arrangements in place for the safe management of asbestos in buildings that form part of the University managed Off Campus leasing scheme where applicable.
 - Actively support the University Asbestos Management Group and receive reports as the Chair of the Estates Strategic Health, Safety and Wellbeing Group.
- https://warwick.ac.uk/services/estates/h_and_s/asbestos_management/
- The Director of Estates will be responsible for ensuring that the University Asbestos management arrangements are communicated as part of staff inductions and recorded where relevant.
 - The Director of Estates will along with the Estates Chief Finance Officer to ensure that adequate budget and resource are made available
 - Ensure that non-compliances notified to them are addressed, without undue delay

3.5 Director of Operations (Estates)

The Director of Operations is responsible for;

- Ensuring up to date information relating to staff and agency workers within the Operations teams are provided to the AMT so that the required levels of training can be provided.
- Ensuring that any work to the fabric of the buildings is carried out following the asbestos survey process ([Appendix 5](#))
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.
- Ensure that the University Asbestos management arrangements are communicated as part of staff inductions to all Maintenance Staff and recorded.

3.6 Head of Compliance and Assurance

The Head of Compliance and Assurance is responsible for ensuring that

- All adequate resources required to administer these arrangements for the University are in place for the delivery of Asbestos compliance as far as its in their control, and for reporting back to the Director of Estates, and Estates Chief Finance Officer where any additional resources are required
- That audits, investigations and reports are carried out and reported into the Estates and University's Governance structure.
- The Asbestos Management Group meets and reports are provided into the Estates and University's Governance structure

3.7 Director of Staff and Student Accommodation

The Director of Staff and Student Accommodation is responsible for;

- Ensuring up to date information relating to staff and agency workers within the Warwick Accommodation and Campus Cleaning Services team are provided to the AMT so that the required levels of training can be provided.
- Ensuring that any work to the fabric of the buildings on and off campus is carried out following the asbestos survey process ([Appendix 5](#))
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.

3.8 Capital Programme Director (Estates)

The Capital Programme Director is responsible for:

- Ensuring that up to date information is obtained regarding ACMs within the area of the project from the AMT before any works are started on any project ([Appendix 5](#)).
- Liaising with the AMT to decide if any intrusive work is required to gain more information prior to the commencement of works and, if so, undertaking a survey scoping meeting (see [Appendix 6](#)) with the University's appointed surveying contractor. All survey works of this nature will be undertaken in consultation with the AMT who raise the necessary orders ([Appendix 5](#)).
- Stopping any works if suspected ACMs are disturbed and ensuring that the University Emergency Procedure is followed ([Appendix 2](#)).
- Ensure that the University Asbestos management arrangements are communicated as part of staff inductions to all Maintenance Staff and recorded.

3.9 Heads of Departments

All Heads of Departments (including heads of all academic units such as Research Technology Platforms or similar and Directors/Heads of non-academic Departments) are responsible for the implementation of these arrangements within their respective Departmental areas and its communication to their staff, students and others under their control. Heads of Departments must comply with this Asbestos Policy and the associated arrangements, instructions and guidance on asbestos management. This includes, dependent on Departmental area:

- Ensuring no building fabric is damaged or changed without consideration of the University Asbestos policy and for ensuring staff and those working on their behalf are adequately trained in asbestos awareness before

they carry out work that could disturb the building fabric or that could open up plant, machinery or work equipment that may contain asbestos containing materials.

- Ensuring that contractors directly appointed by the Department comply with the requirements set out in the Asbestos Policy. Ensuring there are arrangements in place to notify the AMT of all those that require asbestos training, including relevant staff, agency workers and directly appointed contractors.
- Ensuring there are arrangements in place to verify that newly acquired plant, machinery or work equipment being brought into their Department is free from asbestos containing materials.
- Ensuring appropriate action is taken in the event that asbestos could have been disturbed as a result of a Departmental activity.
- Providing details of members of staff within their areas of operation to the Asbestos Management Team who require Asbestos Awareness Training Ensuring there are arrangements in place to inform students of the potential presence of asbestos within student accommodation such as the use of the Student Handbook (where applicable).

3.10 Head of Maintenance

The Head of Maintenance is responsible for:

- Ensuring up to date information relating to staff and agency workers within the maintenance teams are provided to the AMT so that the required levels of training can be provided.
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.
- Ensure that the University Asbestos management arrangements are communicated as part of staff inductions to all Maintenance Staff and Out-Sourcing Contracts team and recorded.

3.11 Estates Site Manager (Wellesbourne)

The Estates Site Manager (Wellesbourne) is responsible for;

- Ensuring up to date information relating to staff and agency workers within the maintenance teams are provided to the AMT so that the required levels of training can be provided.
- Ensuring that any work to the fabric of the buildings at the Wellesbourne campus is carried out following the asbestos survey process ([Appendix 5](#))
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.
- Ensuring that the University Asbestos management arrangements are communicated as part of staff inductions to all Maintenance Staff and recorded.

3.12 Building Facilities Managers

Building Facilities Managers are responsible for;

- Ensuring no work is undertaken in the building/s they are responsible for, unless the correct University procedures are followed, including ensuring the correct and relative asbestos surveys are in place prior to work commencing.
- Ensuring the Asbestos Management Team are aware of the work.
- If asbestos has been identified on the asbestos survey/s this is removed prior to any work being undertaken which will affect or potentially affect these materials.
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.
- Ensuring building related risk assessments relating to asbestos are undertaken and recorded.
- Ensuring that work on the fabric of their respective buildings is being carried out in accordance with agreed risk assessments and method statements and any other required safe systems of work.

3.13 Asbestos Compliance Manager

The Asbestos Compliance Manager as the subject matter expert is responsible for:

- Overall management of the University Asbestos Register.
- The line management of the Asbestos Management Team – Compliance Surveyor/s.
- Ensuring effective asbestos management arrangements are maintained as detailed in this document so as to ensure that appropriate measures of controlling the risks from ACMs are undertaken.
- Ensuring that the asbestos management arrangements are reviewed annually and amended as required.
- Ensuring that the University's Asbestos Register is accurate, and the information is made available to all relevant persons in a timely manner and to arrange suitable surveys and/or sampling as required.
- The development of a prioritised asbestos remedial work programme for areas where asbestos containing materials are identified as being in a condition that warrants removal, encapsulation or ongoing monitoring.
- Ensuring that regular re-inspections of known ACMs are carried out (either using in house resources or through external suppliers) as identified by the asbestos register.
- Producing Specifications for the selection of asbestos removal ([Appendix 8](#)), asbestos surveying and asbestos analytical contractors ([Appendix 10](#)) and for carrying out the tender process in accordance with University process and procedure to an agreed schedule of rates partner.
- Ensuring the use of suitable competent asbestos removal contractor/s and suitable competent asbestos surveyors and analysts for any asbestos works.
- Ensuring that where notifiable and licensed asbestos removal work is being carried out that the independently appointed analyst is carrying out the following on behalf of the University;
 - That asbestos removal is being undertaken in accordance with current legislation and regulations
 - All aspects of asbestos removal are carried out in a safe manner so as not to present a risk to workers or others
 - All relevant documentation is correct and available on site
 - All plant and equipment is suitable and sufficient for the work in hand

- The asbestos removal contractor's plan of work is suitable for the work in hand and is being adhered to.
 - Witnessing enclosure checks and smoke tests
 - Ensuring the asbestos removal contractor's staff are using appropriate work methods and equipment to minimise exposure to asbestos
 - Suitable and sufficient air testing is carried out
 - The 4-stage clearance process is undertaken
 - The waste arrangements are satisfactory
 - In conjunction with the removal contractor the site is left in a clean and safe condition at the end of each working day and on completion of the works
 - Informing the client of any significant events during the removal process
 - Informing the client when the removal process is complete
- Ensuring that the paperwork received from the contractors is present and in good order. Liaising with the contractors over site works, including pre-start meetings, site visits and on completion of works.
 - Placing orders for all asbestos surveys, sampling and removal works within University buildings.
 - Updating the University asbestos register upon the completion of any asbestos removal works.
 - Monitoring that any University project manager or staff who commission works (either by external contractors or internal maintenance staff) likely to disturb asbestos have the appropriate Risk Assessments and Method Statements prior to the commencement of the works.
 - Providing information, support and advice to staff on all matters concerning the management of ACMs.
 - Keeping up to date with the latest industry guidance, legislation and good practice.
 - To ensure that any breaches of these arrangements are investigated and reported to the Head of Compliance and Assurance.
 - Utilising empowerment to stop any work within any building for which the University has responsibility if the detail of these arrangements has either not been followed correctly or there is a significant risk relating to asbestos exposure.
 - Providing specific technical input into the production of contract specifications.
 - Ensuring, in collaboration with the Head of Maintenance, that procedures established for responsive maintenance works are robust with regard to asbestos checks and the availability of asbestos survey.
 - Ensuring, in collaboration with the Head of Maintenance/ Estates Site Manager (Wellesbourne), that any planned cyclical servicing and testing works or regular planned maintenance work is carried out with due regard to asbestos safety.
 - Managing the process of delivering appropriate asbestos related training to those University staff who are nominated for it as identified within the University Asbestos Training Matrix ([Appendix 3](#)).
 - Ensuring that the University Asbestos management arrangements are communicated as part of staff inductions as requested and recorded.
 - Taking the lead in situations where ACMs / potential ACMs have been disturbed to ensure that the University Emergency Procedure is followed ([Appendix 2](#)) and that details relating to any legitimate emergency are reported to the Compliance and Assurance Team and the Central Health and Safety Department using the University Asbestos Incident Form ([Appendix 9](#)).
 - Ensuring audits are completed of work conducted by the Asbestos Surveying / Analytical Consultancy and, when required, issues raised from the audits are dealt with ([Appendix 11](#) for the Asbestos Survey / Analytical Audit Form).
 - Auditing and overseeing audits completed and recorded by the Compliance Surveyor/s on the Licensed Asbestos Removal Contractor and, if required, acting upon any issues identified within these audits ([Appendix 12](#) for LARC Audit Form).
 - Checking and, when required, completing audits on the Service Desk and to ensure they are following the correct procedure for consulting the required information before issuing or completing work ([Appendix 13](#) for the relevant audit forms).

3.14 Compliance Surveyor/s

The Compliance Surveyor/s is responsible for:

- Undertaking re-inspections of previously identified asbestos materials ([Appendix 4](#)).
- Carrying out reviews of risk assessments applied to identify asbestos materials and amending them if necessary.
- Keeping up to date with the latest industry guidance, legislation and good practice.
- Liaising with University colleagues regarding proposed work to building fabric and advising on required action to ensure that no asbestos is inadvertently disturbed.
- Carrying out day-to-day inspections relating to maintenance Service Desk requests to ensure that no asbestos is inadvertently disturbed as a result of any required maintenance work ([Appendix 7](#)).
- Arranging required asbestos removal works ([Appendix 1](#)) either as a result of asbestos management surveys / re-inspections or as a requirement of planned project work.
- Ensuring that all records relating to asbestos removal works that they have arranged are collated and retained and the University asbestos register is updated accordingly.
- To hold periodic documented reviews of the Service Desk process (at least one every six months) to ensure that it is still providing a robust framework for checking works with the potential to disturb ACMs or presumed ACMs.
- Providing advice and guidance during any identified emergency situation and ensuring the University Emergency Procedure ([Appendix 2](#)) is followed and that the Asbestos Incident Form ([Appendix 9](#)) is completed.
- Auditing and recording work conducted by the Asbestos Surveying / Analytical Consultancy and informing the Asbestos Compliance Manager of any issues identified ([Appendix 11](#) for the Asbestos Survey / Analytical Audit Form).
- Auditing and recording licensed asbestos removal work conducted by the Licensed Asbestos Removal Contractor and, if required, raising any issues identified within these audits to the Asbestos Compliance Manager ([Appendix 12](#) for LARC Audit Form). Completing audits on non-licensed asbestos removal work completed by the Asbestos Removal Contractor (no defined percentage is given for non-licensed audits).

3.15 Operations Managers (Cleaning Responsibilities)

The Operations Managers will be responsible for producing and maintaining a list of all cleaning staff to supply to the AMT to ensure that the training identified as required for these roles is provided ([Appendix 3](#)).

3.16 Project Managers and Those Who Commission Works

Project Managers and Those Who Commission Works are responsible for:

- Ensuring that up to date information is obtained regarding ACMs within the area of the project from the AMT before any works are started on any project ([Appendix 5](#)).
- Liaising with the AMT to decide if any intrusive work is required to gain more information prior to the commencement of works and, if so, undertaking a survey scoping meeting (see [Appendix 6](#)) with the

University's appointed surveying contractor. All survey works of this nature will be undertaken in consultation with the AMT who raise the necessary orders ([Appendix 5](#)).

- Ensuring that where project works require asbestos surveys that suitable time is allowed for the survey scoping meeting, the subsequent survey and the interpretation of the resulting documentation prior to works commencing.
- Ensuring that where project works require the removal of asbestos containing materials that suitable time is allowed within the project to carry out this work safely.
- Agreeing with the AMT as soon as possible any works that will involve the removal of ACMs and when the work is required, so that the AMT can raise the necessary orders ([Appendix 5](#)).
- Providing appointed Principal Designers (or individual contractors on projects with no appointed PD) with information on the presence and location of any known ACMs that could be affected by works. This must be included in the pre-construction information required by the Construction (Design and Management) Regulations 2015.
- Ensuring that no project deviates from an agreed scope of work until the implications of any change are given due consideration with regard to asbestos, particularly if areas previously not included in any asbestos checks are now going to be worked in. Should this be the case, then the process of carrying out a meeting with the AMT and then a subsequent on site scoping meeting with the University's appointed analyst must be re-started. NO intrusive works shall be carried out within areas of a pre-2000 building until a suitable survey has been carried out.
- Stopping any works if suspected ACMs are disturbed and ensuring that the University Emergency Procedure is followed ([Appendix 2](#)).
- Providing the required enabling works for any asbestos survey or removal works for their project, e.g. ensuring access can be gained to the areas, electricians are isolated if required and isolation certificates provided, Building Managers and those occupying the areas are made aware of the work etc...
- Ensuring that any planned cyclical servicing and testing works or regular planned maintenance work is carried out by operatives who have access to up to date asbestos survey information for the buildings in which the activities are to be carried out and also have suitable asbestos awareness training to make decisions regarding the nature of those works with regard to asbestos safety and the University arrangements.

3.17 Maintenance Staff / Estates Maintenance Staff/Agency Workers

All directly employed labour staff (and any agency employees within the directly employed labour teams) within the Maintenance Section will be required to:

- Comply with all relevant statutory requirements and these management arrangements.
- Take appropriate action in the event of any uncontrolled release of asbestos or suspected asbestos material as per the University Emergency Procedure ([Appendix 2](#)).
- Ensure they attend and complete the mandatory asbestos awareness training provided.
- Act to prevent asbestos risks in accordance with these management arrangements.
- Follow safe systems of work as identified by line managers and supervisors.
- Report to their line manager or supervisor any concern in regard to any potential health and safety risk.
- Read and follow the information provided on the work docket, including the information relating to asbestos. (N.B. It is important to note that when the docket states "Work Approved by Asbestos Compliance Manager", there is sometimes supporting information such as "Asbestos textured coating and asbestos floor tiles have been identified in the work area. The proposed work (repairing a leaking sink) should not affect the asbestos

in the area, if the proposed work changes or the asbestos is likely to be disturbed please stop work and report it”).

3.18 Estates Maintenance Service Desk Staff

- All Maintenance Service Desk Staff are to ensure that all calls taken by them follow the Service Desk workflow Process (Asbestos) ([Appendix 7](#)) and the associated Standard Operating Procedure ES002 (SOP) to ensure that where repairs could potentially disturb the fabric of the building in a building constructed before the year 2000 the required asbestos checks are carried out.

3.19 Estates Maintenance Out-Sourcing Contracts Staff

- Estates Maintenance out-sourcing contracts staff are responsible for ensuring that all approved external contractors with a likelihood of disturbing building fabric material, services or associated grounds are issued with up-to-date and relevant asbestos register information and to adhere to the process named within [SOP018 External Contractor Asbestos Compliance for Planned Work](#)
- Estates Maintenance out-sourcing contracts staff are not to undertake or commission any reactive work which may disturb the fabric of the building, plant, equipment, services or associated grounds without first raising a docket and that docket being authorised by the Asbestos Management Team for work to proceed.
- All Maintenance out-sourcing contracts staff are to ensure that they follow the Service Desk workflow Process for reactive work (Asbestos) ([Appendix 7](#))
- The Head of Maintenance will be responsible for producing and maintaining a list of all relevant Estates Maintenance out-sourcing contracts staff to supply to the AMT to ensure that the training identified as required for these roles is provided ([Appendix 3](#)).
- The Head of Maintenance will be responsible for ensuring that the University Asbestos management arrangements are communicated as part of staff inductions.

3.20 Health and Safety Department

- The Health and Safety Department will provide support to the Asbestos Compliance Manager to investigate the cause of any asbestos incidents (having been provided with information from the AMT) and give recommendations on the cause and any required actions.

3.21 Asbestos Framework Contractors

- The appointed Asbestos Framework Contractors will, in all cases, ensure that they comply with the detail of the contract specification ([Appendix 8 & 9](#)) for the contract to which they have been appointed.
- The contractors must ensure any health and safety related issues are reported directly to the AMT.

3.22 University Gatehouse Security Staff

- The Staff working in the University Gatehouse (Security) Team who could receive reports of situations potentially fulfilling the criteria for instigating the Emergency Procedure ([Appendix 2](#)) must ensure that they follow the procedure and contact the relevant member of Estates or organisation and, if necessary, utilise the 24 hour 365 day emergency call out provision to mobilise asbestos specialists from the University framework contracts to attend site out of normal working hours and make safe situations.
- The Head of Security will be responsible for producing and maintaining a list of all security staff to supply to the AMT to ensure that the training identified as required for these roles is provided ([Appendix 3](#)).

3.23 I.T. Staff

- I.T. Staff are not to undertake any intrusive works without first raising a docket and that docket being authorised by the Asbestos Management Team as work ok to proceed. No work may proceed without this authorisation. The Director of IT will be responsible for producing and maintaining a list of all relevant IT staff to supply to the AMT to ensure that the training identified as required for these roles is provided ([Appendix 3](#)).
- The Director of IT will ensure that the University Asbestos management arrangements are communicated as part of staff inductions to all relevant Staff and recorded

3.4 All Members of Staff

- The All members of staff (including agency staff) must cooperate and comply with the Asbestos Policy and these associated arrangements, instructions and guidance on asbestos management.

3.25 University Contractors, Consultants and Suppliers

- The University Code of Conduct for Contractors is a document produced for contractors undertaking works in any area of the University. The code refers to guidance and legislation issued by the Health and Safety Executive and has details relating to the University asbestos arrangements; however it is the responsibility of contractors, sub-contractors, consultants and suppliers to ensure compliance with current best practice and legislation. Link to Document - https://warwick.ac.uk/services/healthsafetywellbeing/guidance/contractors/management/contractor_code_of_conduct- v1.7_final_version_january_2019.pdf

The link below is to the University Contractors' induction video -

http://www2.warwick.ac.uk/services/healthsafetywellbeing/guidance/contractors/management/contractor_inductionvideo/

4 ASBESTOS IN EQUIPMENT

Asbestos containing materials may be present in components within plant, machinery, or work equipment in buildings for which the University has responsibility. Where it was safe to inspect and sample suspect materials of this nature, the detail will be included within the building asbestos management survey.

It may not have been possible to identify all items of this nature during the management survey, as pieces of plant, machinery or equipment may have been live or in use making an inspection impossible. In these instances it must be presumed that asbestos is present until its absence can be confirmed via suitable inspection when the item is no longer live or in use.

Where any plant, machinery or work equipment is to be disposed of and no information relating to asbestos can be found, the AMT must be informed and, if deemed necessary, appropriate checks and arrangements will be made for its safe disposal.

Any damage to known or suspected ACMs should be reported to the AMT soon as possible. No attempt should be made to clear the affected materials but the area should be secured from further entry as per the University Emergency Procedure ([Appendix B](#)) until the AMT or appointed contractor can assess the situation.

5 ASBESTOS SURVEY TYPES

To comply with Regulation 4 of the CAR 2012 “The Duty to Manage”, the University needs to know where asbestos is located, what type of asbestos product it is and what risk it presents. An asbestos survey is carried out for this purpose and from this information the University asbestos register is compiled. The HSE document HSG264 “Asbestos: The survey guide” is the recognised standard for asbestos surveys and details two distinct types of survey;

5.1 Management Survey

A management survey has the purpose of locating, as far as reasonably practicable, the presence and extent of any suspected ACMs in the University buildings which could be damaged or disturbed during normal occupancy, including foreseeable maintenance and installation, and to assess their condition. This type of survey will be used to form the University’s asbestos register.

The University will engage the services of a UKAS accredited organisation (17020 for surveying and 17025 for Sample analysis) to undertake all management surveys of its building stock utilising the University’s framework contract.

5.2 Refurbishment and Demolition Survey (R&D)

A refurbishment and demolition (R&D) survey is needed before any refurbishment or demolition work is carried out. This type of survey is used to locate and describe, by intrusive means where necessary and as far as is reasonably practicable, all ACMs in the area where the refurbishment work will take place (or in the whole building if demolition is planned) with no caveats or exclusions in the case of demolition works.

The University will engage the services of a UKAS accredited organisation (17020 for surveying and 17025 for Sample analysis) to undertake all refurbishment and demolition surveys of its building stock utilising the University framework contract.

The AMT will be able to provide help and advice to all staff regarding asbestos surveys. All requests for asbestos surveys must go through the AMT as the central contact.

There is always the possibility of asbestos which has not been located during an asbestos survey being discovered during maintenance, minor or major works.

Should any suspicious materials be encountered then these should be immediately reported to the AMT and the Emergency Procedure followed before works can proceed ([Appendix 2](#)).

6 MANAGEMENT STRATEGY

Where asbestos containing materials are known to be present or have been discovered via an asbestos management survey, the University will manage the risk from the asbestos materials using one or a combination of the following approaches:

- Manage the identified asbestos materials and leave in situ. Label the ACMs with appropriate hazard warning signs (if warning signs are appropriate; in many instances the University will not label an ACM).
- Encapsulate or Enclose the ACMs (Where necessary).
- Record the location of the asbestos on marked plans for the building.
- Record the ACMs in Q2 Asbestos Register which details; the location, condition, the type of asbestos, the application, action required, date removed or repaired and Regular inspections to review the ACMs' condition to ensure that it remains undisturbed.
- Ensure information is provided to all who work within the building with reference to ACMs (Asbestos Policy and Arrangements, Asbestos Register and Marked Drawings), including all the control measures that are in place (Management Plan, Permit to Work System and Emergency Procedures) on request.
- Ensure that the asbestos register and the building plans are used to familiarise contractors with the location of the known asbestos on the site.
- Remove the identified asbestos containing materials.
- Isolate the area where the ACM exists – Usually where a high risk ACM has become damaged
- The Asbestos Compliance Manager will make the decision whether to have the materials removed or to manage the ACMs.
- All asbestos removal works carried out in buildings for which the University has responsibility shall be undertaken by a licensed removal contractor and where the University is in direct control of these works this licensed contractor shall be the current University framework contractor ([Appendix 1](#)).

7 ASBESTOS RE-INSPECTIONS

The future safe management of identified asbestos will require re-inspections at regular intervals ([Appendix 4](#)). Arranged by the AMT, these re-inspections shall either be carried out directly using a suitable, qualified in-house resource (such as the AMT) or issued to the current University framework contractor for asbestos surveying.

The re-inspections will normally be carried out on a 12 monthly basis unless the Asbestos Compliance Manager deems this frequency should be adjusted for certain identified ACMs.

Any identified changes to the condition or any other aspect of the current risk assessment of known or presumed ACMs will be recorded on these re-inspection visits (including new assessment photographs should the visual

appearance of the ACMs have changed) and will be uploaded into the University asbestos management system and any required removal or remedial works arranged by the AMT.

8 ASBESTOS TRAINING

Asbestos awareness training will be given to employees whose work could foreseeably disturb the fabric of a building and expose them to asbestos or who supervise or influence the work.

In particular, it will be given to those workers in the refurbishment, maintenance and allied trades where it is foreseeable that ACMs may become exposed during their work. This includes, but is not limited to:

- demolition workers;
- construction workers;
- general maintenance staff;
- electricians;
- plumbers & gas fitters;
- painters and decorators;
- joiners;
- shop fitters;
- plasterers;
- roofers;
- heating and ventilation engineers;
- telecommunication engineers;
- computer and data installers;
- fire and burglar alarm installers;
- architects, building surveyors and other such professionals.
- IT cabling installers/ Project Managers

The University will ensure that all relevant staff who may encounter asbestos as part of their daily duties or who have responsibilities outlined in these arrangements will receive the appropriate level of training.

The training to be delivered to these identified categories of staff is set out in the Asbestos Training Matrix ([Appendix 3](#)) and shall take the form of either classroom-based sessions or e-learning courses (the type of delivery is to be decided by the Asbestos Compliance Manager).

It will be the responsibility of the Heads of Departments to ensure that arrangements are in place so that any qualifying staff members appointed within their areas of services are reported to the Asbestos Compliance Manager so that appropriate training can be arranged.

The Mandatory asbestos awareness training will be given on a rolling cycle.

- Year 1 Full Awareness Training
- Year 2 Refresher Training
- Year 3 Full Awareness Training
- Year 4 Refresher Training

It is a requirement that staff appointed into a post listed on the Asbestos Training Matrix as requiring full awareness training ([Appendix 3](#)) will undertake the training within the first week of their appointment.

The asbestos awareness training provided by the University will include a formal examination as a means of proving competency. Individuals who do not achieve the required pass mark will be required to re sit the training and re take the examination within 7 days.

Staff members working within the Compliance and Assurance Team will hold the relevant mix of industry qualifications P402, P403, P404, P405, P407 and S301 or W504. The University Asbestos Management Group will have oversight of the training matrix.

The Director of Estates will undertake Duty to Manage Asbestos Training along with nominated representatives dependent upon their role.

Cleaning Operatives, Domestic Assistants and other nominated staff on similar grades will receive a toolbox talk regarding asbestos that will be provided on induction and refreshed on a 3 yearly basis.

In addition to this, training updates will be provided as necessary by the University Asbestos Compliance Manager to convey the implication of any changes in legislation, guidance or good practice.

9 ARRANGEMENTS FOR LEASED AND RENTED

PROPERTY AND PROPERTY FOR PURCHASE OR DISPOSAL

The University will adopt the following measures for managing its leases that do not form part of the off campus student accommodation leases.

9.1 Leased in Properties

- Any property acquired on Full Repairing Lease is to be treated as University-owned property.
- No new property may be occupied by or on behalf of the University until the presence or absence of asbestos materials is confirmed by the examination of existing records for the property by the Asbestos Compliance Manager.
- If such records do not exist or cannot be made available, an asbestos survey and report compliant with current HSE guidance will be required by the University and a charge may be made to the building owner for its production.
- All identified asbestos materials contained within any building will be subject to a formal risk assessment with any recommended works actions being carried out prior to occupancy.

The implications of the existence of known or presumed ACMs on any building works required and also the potential problems in future occupancy and management of the property should be carefully considered before entering into an agreement to purchase or occupy the building.

9.2 Leased out Properties

- Where a building is let on a full repairing lease basis then all work required will be recorded as being the responsibility of the tenant for the duration of the lease (unless otherwise stipulated within the lease agreement)

- As a condition of the signed lease agreement it will be required that the University (having agreed convenient access) carries out a regular onsite landlord inspection to ensure that all agreed measures are in place with respect to tenant obligations.
- Where a building is let on other types of lease it will be treated as University-owned property and the management arrangements detailed within this document will apply.

In all cases, prospective purchasers of any University-owned property are to be advised of the existence of any known or presumed ACMs and any exclusions or caveats from the relevant asbestos survey reports.

10 ARRANGEMENTS FOR OFF CAMPUS STUDENT

RESIDENTIAL BUILDING (LEASING SCHEME)

Buildings which are part of the Off Campus Leasing scheme which is managed by the University shall have the following arrangements in place for safe asbestos management:

- All existing buildings which form the portfolio of buildings leased to students by the University shall have in place an asbestos management survey undertaken by a company accredited by UKAS to survey.
- Asbestos identified within these existing management surveys as requiring either remedial work or removal will be either removed or made safe.
- Buildings not currently part of the leasing scheme will only be admitted once the owner has provided a suitable asbestos management survey to the Warwick Accommodation Team and can demonstrate any asbestos identified as requiring action within that report has been suitably dealt with.
- All asbestos containing materials within existing buildings which form the portfolio of buildings leased to students by the University shall be subjected to periodic condition re-inspection. All buildings will be re-inspected annually unless the asbestos management team risk profile score classes them as low risk due to the product type, condition and accessibility of the known asbestos containing materials and in which case will be re-inspected every 2 years.
- Information and advice for students is available in the off campus student handbook.
- Where improvement work is required within a property that is part of the leasing scheme, the work may be managed by Warwick Accommodation who will ensure that any required asbestos surveys are carried out and that any required asbestos removal work is undertaken, they will utilise the AMT to arrange these surveys and instruct the necessary removal works using the University framework contractors.
- Improvement work may also be carried out by the building owner. Where this is the case, Warwick Accommodation will need to see suitable evidence following completion of the works to ensure that all required health and safety measures with regard to asbestos have been duly addressed. Where there is any doubt regarding this and following consultation with the AMT it shall be the responsibility of Warwick Accommodation to take whatever action is necessary to ensure that no building users are placed in a position of risk.

The following wording will be included within the Head Tenancy Agreement with Landlords (either existing or newly entering into the scheme) to outline the University's requirements with regard to asbestos management:

'To the extent that it has not already done so the Landlord shall prior to the start of the Lease provide to the University a copy of its asbestos management survey report. Whereby the property was built after 2000, no asbestos management survey is required. If the Landlord fails to provide a valid asbestos management survey report the

University may arrange for an asbestos management survey report to be issued for the Property and the Landlord shall indemnify the University for the costs of so doing which the University may offset against any rent due.

Asbestos re-inspections will be carried out annually or every two years, depending on the material type identified. It is the responsibility of the Asbestos Compliance Manager/Compliance Surveyors to check all the off campus housing reports and produce a re-inspection schedule accordingly. This will need to be arranged with the Off Campus Team, so they can notify the students. On completion of the re-inspections the Asbestos Compliance Manager/Compliance Surveyor will produce a report which identifies any remedial works which are required. This will be submitted to the Off Campus Team who will notify the landlords accordingly.

Whereby the asbestos management survey report identifies asbestos as being present, and work is required to remove or make safe the asbestos, the Landlord shall at its own cost complete all remedial work within two (2) weeks of the date of the report and have this work certified by a licensed asbestos contractor as being safe, satisfactory and compliant with all relevant legislation and good industry practice. Where asbestos is identified, the property will require to be re-inspected on an annual basis to ensure the asbestos is safe and managed accordingly. If, upon re-inspection, work is required to remove or make safe the asbestos, the Landlord shall at its own cost complete all remedial work within two (2) weeks of the date of the report and have this work certified by a licensed asbestos contractor as being safe, satisfactory and compliant with all relevant legislation and good industry practice and will ensure that, following the work, the relevant certification and associated paperwork is copied to the University for its records within ten (10) working days of receiving such certification.'

11 ASBESTOS SAFETY

There is health and safety legislation and guidance on the responsibilities of landlords and managing agents for the refurbishment, repair and maintenance of properties built before 2000 that are leased to generate commercial income.

Before the start of the letting period the Owner will provide the University with an Asbestos Management Survey report for the building that has been produced to the format required by the University by one of its accredited and qualified asbestos survey framework partners. The University reserves the right to require that any asbestos containing materials that could present a risk to the health of students are treated as specified in the management survey prior to accepting the property.

The Owner is responsible for ensuring that all refurbishment, repair and maintenance of properties built before 2000 carried out as a requirement under this agreement are carried out in line with HSE guidance on the control of asbestos and specifically all work with asbestos must be done by trained people using proper precautions.

The Owner must provide the University with confirmation that all refurbishment, repair and maintenance of properties built before 2000 carried out as a requirement under this Agreement was carried out in line with HSE guidance on the control of asbestos including the specification of the work, the competence of the contractors, any refurbishment asbestos survey, and where necessary the associated analyst's report for any work that may have disturbed asbestos materials.

12 Table of Priority for Action / Timetable of Action

Note: *timeframes based upon adequate resources and finance made available.

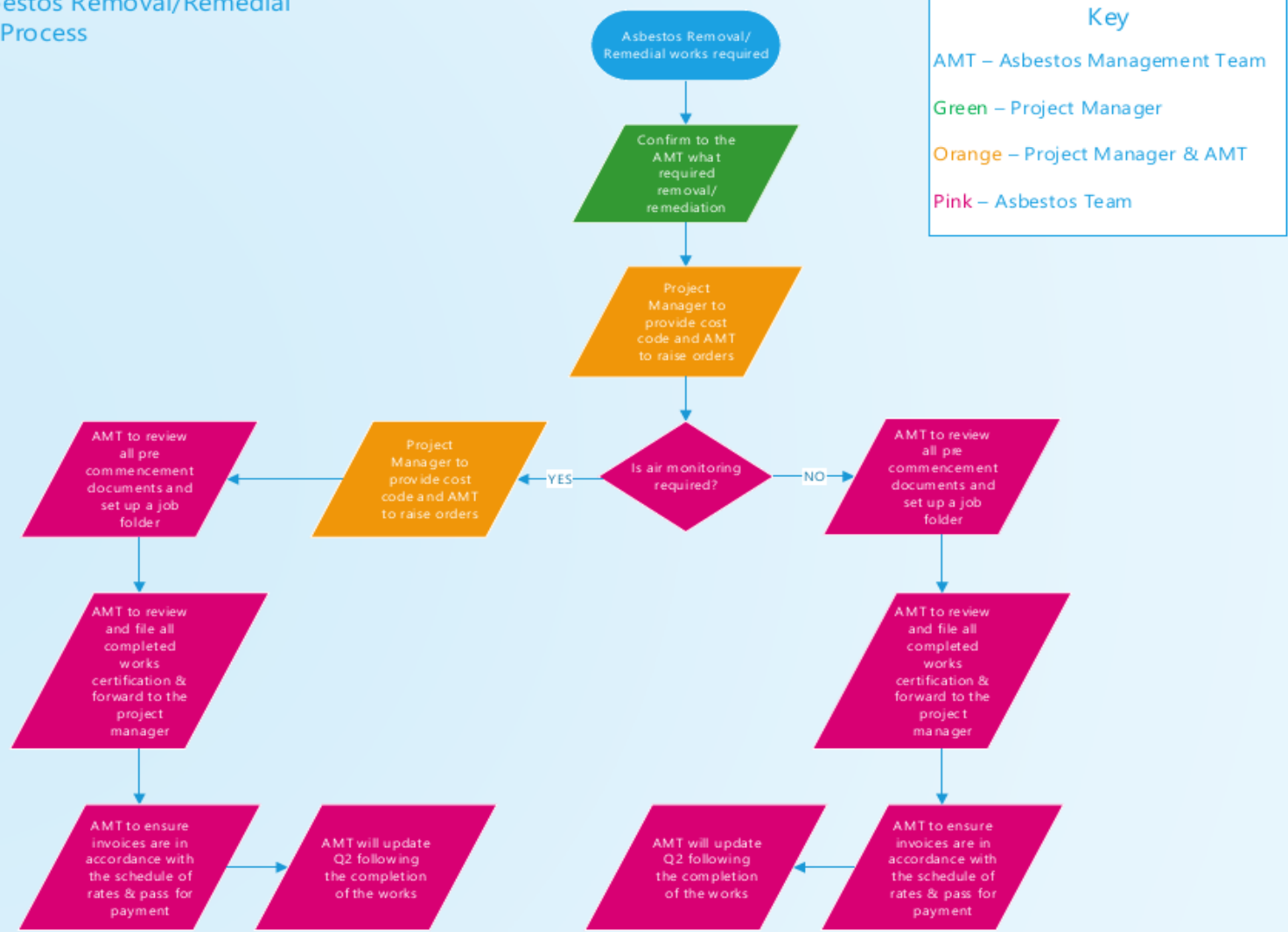
Required action	Prior	Target date	Notes
Complete reconciliation of re-inspection project for university buildings.	HIGH	By September 2020	Completed
Carry out risk profile exercise to award individual risk ratings for each university building.	HIGH	By September 2020	Completed
Commence re-inspection programme ensuring that high risk sites are re-inspected first.	HIGH	From December 2020	Target completion date May 2022
Commence asbestos remedial abatement actions in-line with the re-inspection programme.	HIGH	From December 2021	A target completion date will be established once the re-inspection survey programme has completed.
Complete the requirements of the training matrix including UKATA Asbestos Awareness and Duty to Manage courses.	MEDIUM	Ongoing as per the employee training matrix	
Carry out internal staff and external contractor audits i.e. university front line staff and asbestos consultancy and LARCs.	LOW	Quarterly – Refer to the Estates compliance and assurance audit plan	Ongoing
Design and completed functionality upgrade within Q2 to assist with the monitoring and reporting of statutory re-inspections and external contractor asbestos register access	MEDIUM	December 2021	
Train Service Desk Team and Building Fabrics Team in- line with Service Desk and Trades Asbestos SOP. Roll out when a confidence rating has been ascertained.	LOW	December 2021	
Review of Code of Practice Asbestos Management Arrangements.	LOW	MAY 2022	Annually unless internal or external events trigger a review

13 Asbestos related incidents

Although the university operates and adheres to the strategy and controls stipulated within this document, it is accepted that there will be occasions when an asbestos incident occurs. The university will always react to understand the situation as quickly as possible, determine the level of risk, take immediate action to mitigate the situation in line with the university asbestos emergency procedure ([Appendix 2](#)) and then investigate the matter to identify the root

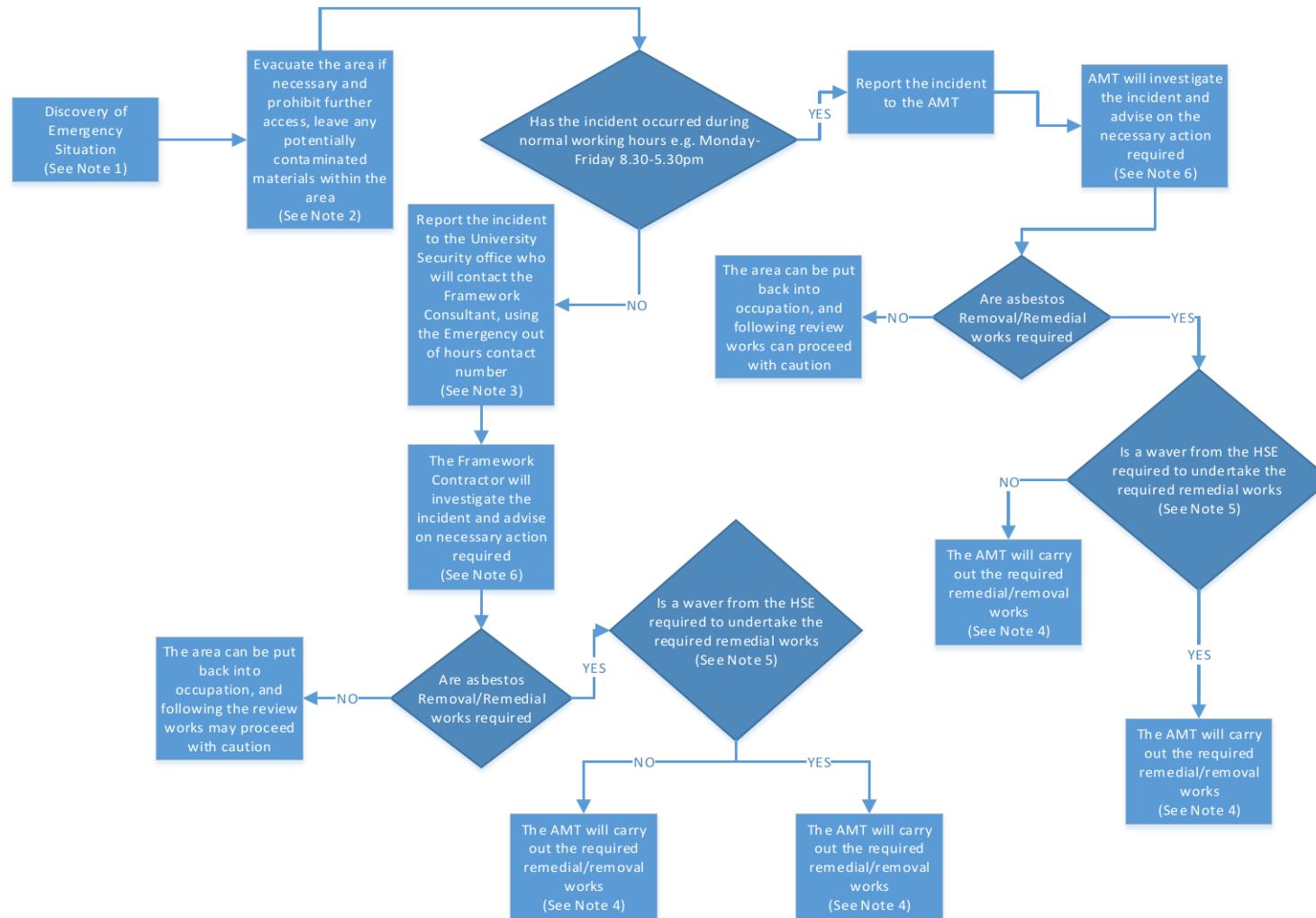
cause and to review the current process and measures used to control work within premises. All asbestos related incidents and near misses must be logged within the SHE system and the appropriate actions designed to prevent reoccurrences will be delegated to the appropriate persons.

Appendix 1 – Asbestos Removal/Remedial Process



Approval Date: 18.05.2021
 Review Date: 18.05.2022

Appendix 2 – Asbestos Emergency Process



Key

AMT-Asbestos Management Team

Note 1
Emergency situation is defined as the discovery of damaged asbestos containing materials (ACM) or suspected ACM, or the urgent removal / making safe of ACM to allow other emergency works to proceed.

Note 2
Access must be prohibited by robust means such as locking door or erecting physical barriers. Potentially contaminated materials will include tools clothing or any portable items in the direct vicinity of the disturbed materials,

Note 3
For any out of hours emergency situation the University Framework Consultant (Environmental Essentials) must be contacted on Tel **01782 663552**. They will provide advice and guidance on what action to take and will also attend site within 2 hours if required.

Note 4
The Asbestos Team will follow the Universities Removal / Remedial process when arranging works identified through the Emergency Process

Note 5
The asbestos Team will request a waiver of the 14 day notification period from the HSE following agreement from The Compliance and Assurance Manager and the Director of Health and Safety

Note 6
All incidents will be reported either by the AMT or the Framework Consultant using the Universities Asbestos Incident Investigation Form, this document is used to gather details of what has happened and then is passed onto the Health and Safety Department for any required actions.

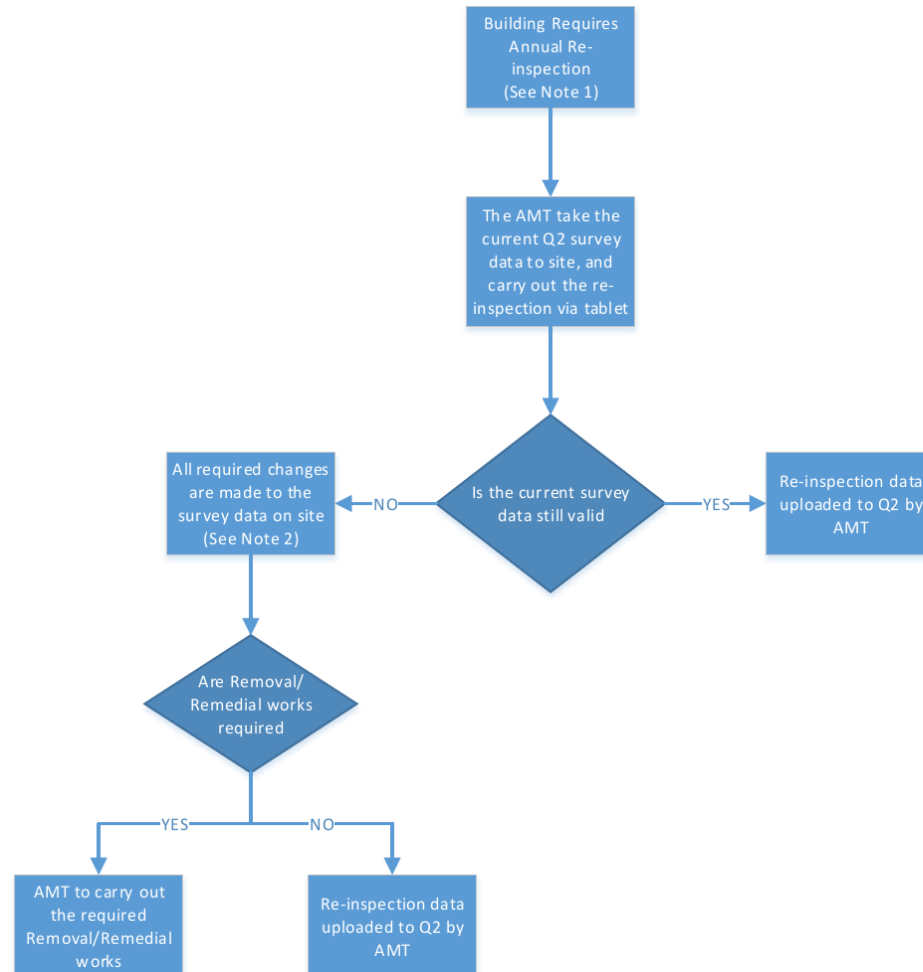
Appendix 3

Asbestos Training Requirements Matrix

Job Title	P407 Asbestos Management Duty Holder Responsibilities	P405 Management of Asbestos in Buildings	P404 Air Sampling for Asbestos	P403 Asbestos Fiber Counting (PCM)	P402 Building Surveys and Bulk Sampling	S301/W504 Asbestos and Other Fibers	Neboosh Certificate in Health and Safety	Annual Duty to Manage Asbestos	Annual Asbestos Awareness / Awareness Refresher	Annual Non Licensed Work Training	Toolbox Talks yearly intervals
Director of Estates + Other nominated Senior Leadership Team Staff* Note								X	X		
Director of Health & Safety									X		
Head of Compliance and Assurance * Note								X	X		
Heads of Department									X		
Heads of Maintenance									X		
Estates Site Manager (Wellesbourne)									X		
Cleaning Services Manager									X		
Building Facilities Managers									X		
Project Managers & Commissioning Officers									X		
Estates Maintenance Trades									X		X
Estates Maintenance Trades out of hours response teams									X		
Estates Maintenance out-sourced contracts									X		
Asbestos Compliance Manager *Note	X	X			X	X	X	X	X		
Compliance Surveyor/s *Note		X	X	X				X	X		
Operations Managers (Cleaning Responsibilities)									X		X
Project Managers and those who commission works									X		
Maintenance Staff / Estates Maintenance Staff									X		
Building Maintenance Staff (Builders, Carpenters, Painters & Roofers)									X		
Estates Service Desk Staff									X		
University Gatehouse Security Staff									X		
I.T. Staff									X		
Cleaning Staff											X
Domestic Assistants Porters etc.											X

- Note : Asbestos Awareness training not required where a valid Duty to Manage Certificate is in place.

Appendix 4 – Asbestos Annual Re-inspection Process



Key

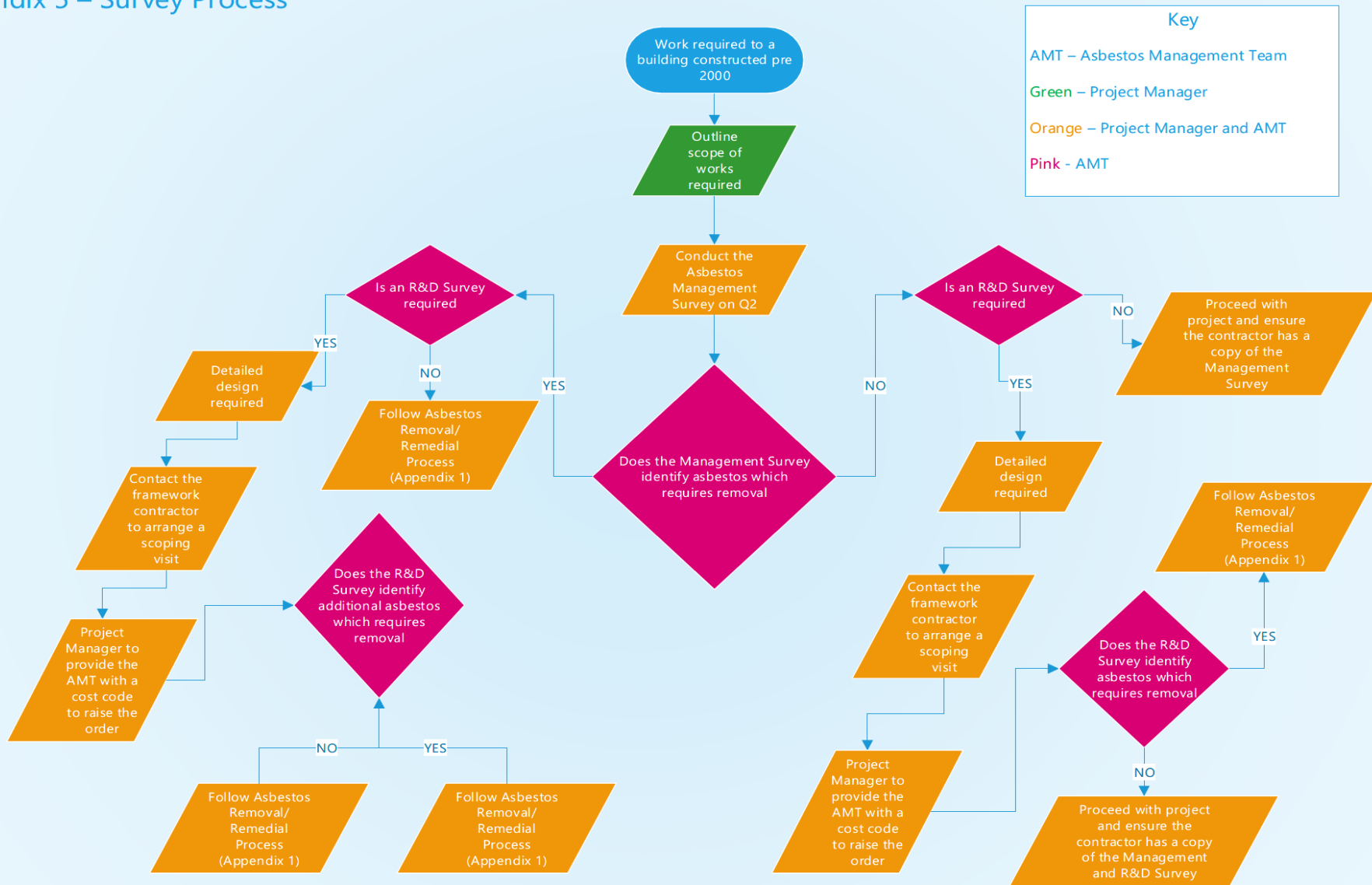
AMT – Asbestos Management Team

Note 1
All buildings with asbestos materials present will require an annual re-inspection survey, these surveys will be carried out in house by the Asbestos Management Team, Compliance Surveyor, or framework provider

Note 2
Whilst on site the re-inspection will revisit all aspects of the asbestos risk assessment to assess whether they are still valid, also any revised photographs will be taken.

Note 3
The Asbestos Management Team will follow the Universities Removal / Remedial work Process when arranging any required remedial works identified from an annual re-inspection visit.

Appendix 5 – Survey Process



Appendix 6

Asbestos Survey Scoping Form

EEL Project Number:		Order Number:	
University Project Manager:			
Contact Number:			
Email Address:			
Building Name:		Building Code:	
Building Plans present with space management room numbers? Yes / No		Date of Scoping Visit:	

Type of service required:

Management		Refurbishment		Demolition		Bulk Sampling	
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Brief Description of Works:

General Notes

All surveyors to follow room lead data capture with using client specific format. No cross referenced samples. **THE DESCRIPTION OF SAMPLES WILL EXPLAIN EXACTLY WHERE THE SAMPLE IS TAKEN FROM IN THE ROOM.**

If inspections are carried out within the ceiling void then the comment **“Ceiling void – Area consists of:...”** is required. For inspections within the space the comment **“Space – Area consists of:...”** is required. For inspections within floor voids or floor ducts **“Floor void – Area consists of:...”** or **“Floor Duct – Area consists of:...”** is required.

Surveyor to follow the points within the scoping document only, unless stated otherwise by the EE Project Manager.

Locations are to be recorded using client space references, which are the blue space numbers on the floor plans provided by the University.

Inspection holes must be mad safe in all instances. Intrusion points generally be made good using a timber panel, unless it is on practicable i.e. repair of pipe insulation, around door frames etc. No inspection holes to be left uncovered. Consideration must be made as to the level of damage caused, dependant on the occupancy of the area / location of the inspection hole.

Rooms/Areas to be left clean and tidy for reoccupation. All debris must be removed from site at the end of the survey.

Remember:

- **FRONT PAGE PHOTOGRAPHS MUST BE TAKEN FOR EVERY SURVEY.**
- **ALL AREAS WITHIN THE SCOPING DOCUMENT MUST BE ACCESSED. IF THERE ARE AREAS THAT CANNOT BE ACCESSED THEN PLEASE CONTACT THE EE PROJECT MANAGER AND THEY WILL GAIN ACCESS FOR YOU.**
- **ALL INSPECTED AREAS ARE TO BE HIGHLIGHTED ON THE FLOOR PLANS.**
- **ALL ENTRIES TO BE CHECKED AGAINST THIS SCOPING DOCUMENT PRIOR TO SENDING.**

Floor No	Area No	Specifics of Inspection	Making Good Required Y/N
		-	

*Detail below any specialist equipment / ancillary works required to enable survey and who is to arrange
E.g. Specialist access equipment for work at height, electrical isolation, lift engineer attendance, chaperone required if residential accommodation.*

Area No	Floor No	Required	To Be Arranged By
		-	

Date Survey to take place:	
Contact Name at Building:	
Contact phone number at building:	

If no changes are required and both parties are agreed and fully understand the scope sign below:

University Representative:

Signature:	
Name (Print):	
Date:	

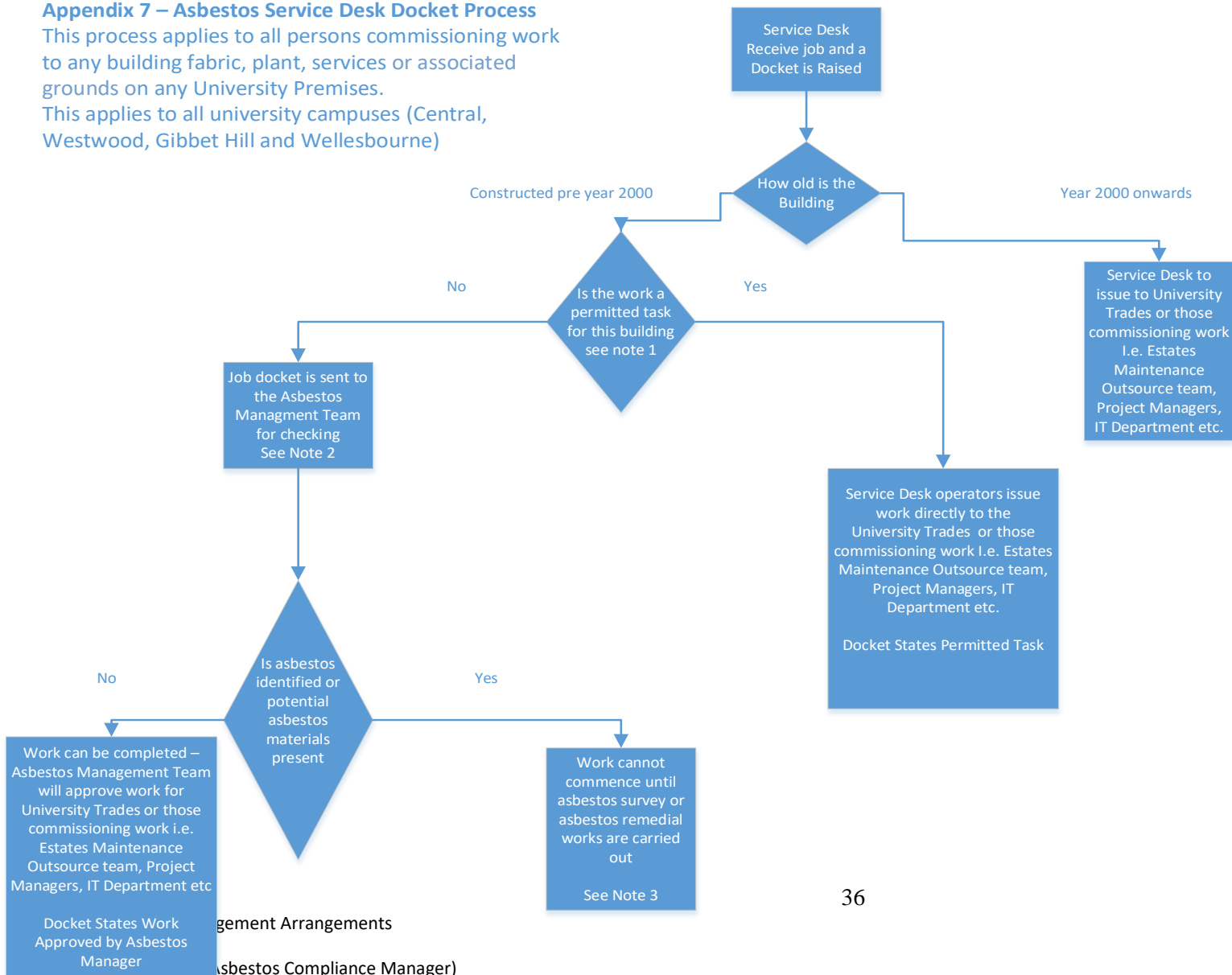
Asbestos Consultancy Representative:

Signature:	
Name (Print):	
Date:	

Note any areas agreed as requiring inspection but subsequently reported as inaccessible on the final report will be subject to a re-visit that will not be chargeable to the University, unless at the time of the survey these inaccessible areas are reported to the Project Manager / Building Contact and agreed as legitimate.

Appendix 7 – Asbestos Service Desk Docket Process

This process applies to all persons commissioning work to any building fabric, plant, services or associated grounds on any University Premises. This applies to all university campuses (Central, Westwood, Gibbet Hill and Wellesbourne)



Note 1

The permitted task list for each building is produced by the Asbestos Team after consulting all available asbestos survey records and takes into account building age and previous asbestos removal knowledge

Note 2

The Asbestos Management Team will consult the current asbestos Management Survey and also arrange for any necessary Refurbishment / Demolition surveys required to make an appropriate decision regarding whether the work may proceed or not.

Note 3

The Asbestos Management Team will follow the Universities Removal / Remedial work Process when arranging work to enable a docket to be completed.

Appendix 8

CONTRACT FOR THE PROVISION OF ASBESTOS REMOVAL AND ENCAPSULATION WORKS

This Framework specification is for the provision of Asbestos Removal and Encapsulation Works, the framework will be based on a tendered schedule of rates with prices being tendered for jobs of varying sizes.

Work will be issued via the framework agreement to the successful framework contractor, the basis for how work shall be awarded will be based on the tendered rate for the element within the schedule.

All works which are issued as part of this framework must be carried out in accordance with:

- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulations 1999
- The Control of Asbestos Regulations 2012
- HSG 247 the Licensed Contractors Guide
- HSG 210 Asbestos Essentials
- L143 Work With Materials Containing Asbestos

Contract liaison officer

The successful contractors must appoint a suitable Contract Liaison Officer (CLO) who shall for the duration of the framework be the main point of contact for enquiries regarding works (in any periods of absence a suitable deputy (a senior officer) shall be provided) ; the CLO shall be available for progress meetings with the Universities Asbestos Team & Project Managers to discuss individual jobs either at the Asbestos Teams office or at a specific University premises and also for periodic contract review meetings at either the Contractors offices or the Asbestos Teams offices, these contract review meetings will not be chargeable.

Sub-contractors

All works involving asbestos removal / encapsulation completed as part of this framework will be undertaken by a contractor holding a current asbestos removal license issued by the HSE (including non-notifiable works) it shall not be acceptable to the University for a non-licensed sub-contractor to undertake any works of this nature, except with the prior written approval of the Universities Asbestos Compliance Manager.

ASB5 and plans of work

Prior to any works commencing on site a suitable task specific non generic plan of work shall be produced including an assessment of any risks associated with the required works, where work is notifiable this shall be forwarded to the Asbestos Team / Project Manager along with the ASB5, where works are non-notifiable the Asbestos Team will still require a copy of the plan of work to be issued before works commence on site, where applicable and at the instruction of the Asbestos Team a copy of the Plan of Work shall also be forwarded to the Universities appointed independent analytical contractor.

Attending University controlled premises for works or for pricing purposes

In all instances when attending a University controlled premises it shall be the responsibility of the contractor to contact the University to arrange a convenient time and date (this information shall be recorded by the contractor detailing who they confirmed the appointment with and when the phone call was made). Should contractors not arrange site visits and turn up at an inconvenient time or on an inconvenient date to the University and be asked to leave then no charge shall be accepted by the University unless the evidence stated above can be provided.

Contractors Hazard Exchange Checklists

At all University controlled premises the contractor must follow the defined signing in procedure, the contractor must complete the Contractors Hazard Exchange Checklist (see appendix a) and also receive the Universities health and safety induction prior to the commencement of any work.

Note – this document is subject to regular revision and it will be the responsibility of the University to issue any amended versions to the contractor.

Removal Rates

The prices submitted for asbestos removal works as part of this framework include for all associated costs to remove the materials including labour, materials, travelling, disposal of waste and all equipment required to remove the materials (excluding re-instatement, scaffolding and specialist items such as the hire of shot blasting equipment etc).

Where ancillary services are required for enabling works prior to the asbestos removal commencing e.g. electrical isolation or plumbing works such as draining down these elements will be added to the invoice at the rates identified in the priced schedule returned by the contractor.

Scaffolding and specialist equipment / plant hire shall be priced based on a percentage mark-up on cost and shall be shown as such on the invoice breakdown, the Asbestos Team will require a copy of the invoice to the contractor to be included with the “Framework Invoice” so that mark-up percentages can be verified.

Textured Coatings Clarification

Where an asbestos containing textured coating e.g. Artex is applied to another asbestos product such as an insulation board or cement panel (which will be removed along with the textured coating then the price element charged from the schedule of rates shall be that of the other product e.g. the Asbestos Insulation Board (AIB) m2 rate or the Asbestos Cement m2 rate).

Cooperation with the Asbestos Team and any appointed independent analytical organisations

The University has its own Asbestos Team who hold a range of the industry recognised qualifications including S301 / W504, P402, P405 and P407 and who will expect cooperation with any contractor issued with works from this framework. Also, on the vast majority of projects undertaken at University Premises an independent analytical organisation (appointed directly by the University) will be in attendance for the duration of the works carrying out the range of air testing activities required by the University and legislation (including the 4 stage clearance process), in these situations it is a requirement of this framework that the Contractor cooperate with the guidance and advice of the analytical organisation (providing their advice is within the requirements of legislation).

Invoicing for completed works

Following the completion of onsite works the contractor shall ensure that the invoice is forwarded to the Finance Office within the Estates Department or forwarded to estates.invoices@warwick.ac.uk along with waste disposal information for all asbestos materials removed. Also included shall be a copy of the signed Contractors Hazard Exchange Checklist ([appendix a](#)), the Asbestos Removal Checklist ([appendix c](#)) and the invoice breakdown ([appendix b](#))

No invoice shall be passed for payment unless the items described above are received by Asbestos Team (unless prior agreement has been given by the Universities Asbestos Compliance Manager).

Structure of the submitted invoice

All invoices issued by the contractor under the conditions of this framework are to clearly identify they are a “Framework Invoice”. The invoice is to be structured in a way that ensures it is directly linked to the elements

identified within the schedule of rates and that the invoice total is comprised from those identifiable elements (example supplied see [appendix b](#)). Invoices not in this format will be returned to the contractor to be reworked.

Removal Checklist

With each “framework invoice” submitted for removal works or encapsulation works a copy of the Removal checklist ([appendix c](#)) is to be forwarded. Invoices received without this document attached will be returned.

Emergency call out to Asbestos Incident

Occasionally it will be necessary to contact a contractor to attend site as an emergency. The contractor is to tender a price on the schedule to allow for attending to any premises controlled by the University within 2 hours from the receipt of a phone call requesting emergency response. The response may be required out of normal working hours so a 24 hours a day seven days a week contact number must be provided by the contractor.

When responding to an emergency request the contractor shall ensure that in every case at least two operatives attend the site in question within 2 hours of the receipt of the phone call reporting the emergency. The operatives must be equipped with suitable materials to effectively seal off any suspected contaminated areas including 1000 gauge sheeting, adhesive tapes, suitable Personal Protective Equipment (PPE) and Respiratory Protective Equipment (RPE) and a type H vacuum cleaner. Once at the site the contractor shall contact a Member of the Asbestos Team / Estates Office (if they are not already on site) to explain the nature and probable extent of the incident and to advise (if requested) if further actions are necessary such as the requirement for a decontamination unit to be sent to site.

Pricing of the Schedule of rates

The University will only pay for time on site for works issued under this framework and no travelling charges will be paid. It is also a requirement that unless specified within the schedule of rates (see appendix d) all materials, tools and labour are included in the hourly rates tendered. Where time charge hourly rates are being applied please note that during any 8 hour work period a 1/2 hour lunch break must be taken, and this period shall not be chargeable to the University.

A price must be entered for each element within the schedule of rates on the attached spread sheet (see appendix d). The percentage on cost additions have already got a notional cost entered so only the actual additional percentage needs to be entered.

Percentage on cost elements within schedule

The University will expect value for money with all works issued under this framework, any percentage on cost elements (e.g. the provision of scaffolding) will be periodically audited by the University to ensure that the rates charged by the successful contractor are within normal industry levels, should the University feel that the rates being charged do not represent value for money then the contractor may be asked to source an alternative supplier or engage in a renegotiation with their existing supplier.

Appendix 9

The SHE Health and Safety reporting form below should be accessed via the staff Intranet on the Health & Services page, the link to page is follows:

<https://warwick.ac.uk/services/healthsafetywellbeing/incidents/incidentreport/> The below is just an example of the details which require completing.



English (UK)

Report an Incident Attachments

Org Unit

Department Where Incident Occurred*

Click the icon to the right, followed by 'select'.
Find department by typing the name in the 'search box' or navigating the 'org chart'.
If you are unsure, please select 'Unknown'

Upload Photos by selecting continue at the bottom of the form once all required fields are filled in

Date of Incident*

Time of Incident (24 hr clock)*

Type of Incident*

Details of Incident*

Provide a brief factual summary of the incident and how it occurred
DO NOT enter any names or personal details

Details of Immediate Actions Taken*

It is important that the situation is made safe, please provide details of action taken.
Please report all infrastructure and/or building defects to the Estates help desk for remedial action, using the link below
<http://helpdesk.estate.warwick.ac.uk>

Was Injury or ill Health Sustained?* Yes No

Was any First Aid Treatment Given?* Yes No

Details of Treatment Given

Has the IP been Taken to Hospital?* Yes No

▼ Injury / Ill Health Details

Injury Type	Apparent Cause	Part(s) Of Body Affected	
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+ Add

▼ Affected Person Details

Was a Person Affected?*

Affected Person includes physical injury and symptoms of ill health.

Yes
 No

Did the Incident Involve a Young Person Under 18?*

Yes
 No

Affected Persons Status

Forename(s)

Surname

Affected Person's Department

Job Title

Contact Details of Affected Person - Phone or Email

▼ Other People Involved / Witnessess

Forename(s)	Surname	Contact Details - Phone/Email	
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+ Add

▼ Reporter Details

Reported By - Full Name*

Reporting Person's Department

Contact Details of Person Reporting - Phone or Email*

Date Reported * 

[→ Continue](#) [✓ Submit](#) [↶ Cancel](#) [✖ Collapse](#)



Appendix 10

Contract for the provision of Asbestos Management and Refurbishment / Demolition Surveys, Asbestos Analytical Monitoring and 4 Stage Clearance, Add-Hoc Bulk Sampling for Asbestos and Emergency Response Facility and The Provision of Asbestos Awareness Training and Non Licensed work with Asbestos Training

This framework specification is for the provision of the services described above the framework will be based on a tendered schedule of rates with prices being tendered for specific elements of work.

Work will be issued via the framework agreement to the successful framework consultancy, the basis for how work shall be awarded will be based on the tendered rate for the element within the schedule (see appendix d)

All works which are issued as part of this framework must be carried out in accordance with;

- The Health and Safety at Work etc Act 1974
- The Management of Health and Safety at Work Regulations 1999
- The Control of Asbestos Regulations 2012
- HSG 227 A Comprehensive Guide to Managing Asbestos in Premises
- HSG 248 The analysts' guide for sampling, analysis and clearance procedures
- HSG 264 The Survey Guide

Contract liaison officer

The successful consultants must appoint a suitable Contract Liaison Officer (CLO) who shall for the duration of the framework be the main point of contact for enquiries regarding works; (in any periods of absence a suitable deputy (a senior officer) shall be provided) the CLO shall be available for periodic contract review meetings at either the consultant's offices or the Asbestos Team / Universities Estates Department offices, these contract review meetings will not be chargeable.

Sub-contractors

All subcontractors used by the consultant for works relating to this framework will hold the appropriate UKAS accreditations (or equivalent) for the disciplines concerned, for example ISO 17025 and/or ISO 17020 for works relating to sampling, surveying or clearance testing (The University Asbestos Compliance Manager must be informed in writing before any sub-contractors are issued with works as part of this framework)

Attending University controlled Premises for works or for pricing purposes

In all instances when attending a University controlled premises it shall be the responsibility of the contractor to contact the University to arrange a convenient time and date (this information shall be recorded by the contractor detailing who they confirmed the appointment with and when the phone call was made). Should contractors not arrange site visits and turn up at an inconvenient time or on an inconvenient date to the University and be asked to leave, then no charge shall be accepted by the University unless the evidence stated above can be provided.

Contractors Hazard Exchange Checklists & Code of Conduct

At all University controlled premises the contractor must follow any required signing in procedure; the contractor must complete the Contractors Hazard Exchange Checklist (see appendix b) and also follow all of the condition set out in the University "Contractors Code of Conduct" document (link below)

https://warwick.ac.uk/services/healthsafetywellbeing/guidance/contractors/management/contractor_code_of_conduct- v1.7 final version january 2019.pdf

Cooperation with the Universities Asbestos Team and appointed removal contractors

The University has its own Asbestos Team who hold a range of the industry recognised qualifications including S301 or W504, P402, P405 and P407 the University will expect cooperation with any consultant issued with work under the terms of this framework. The University shall also require that any consultant issued with work under this framework will work effectively with any asbestos removal contractor appointed by the University.

Required level of service to be provided and work specification

Competence and qualifications

The consultant/s appointed to undertake the works must have the following:

- UKAS accreditation for Surveying, Sampling and Analysis
- UKAS accreditation (Category A) for fibre counting and asbestos identification
- UKAS accreditation for the four-stage clearance certification process
- A designated CLO holding the S301 or W504 and CoCa / CCP qualifications
- Current participation in the RICE and AIMS quality check schemes
- Analysts with minimum qualifications of Proficiency Certificates P403 and P404 and a minimum of six months previous analytical experience
- Lead Surveyors with P402 qualification and a minimum of twelve months previous surveying experience to undertake all management and refurbishment / demolition surveys for the University (a lead surveyor shall be present for each survey carried out)
- Personnel trained in UKAS accredited sampling methodology for undertaking ad-hoc bulk sampling

Risk assessment and method statements

All work to be carried out must be subject to a risk assessment of the site and the work must be carried out according to the procedures defined in the risk assessment. The work should minimise disruption to the Universities operations and routines, and must protect the health and safety of all persons who may be at risk.

Supply of electronic survey information for Management Surveys, Refurbishment / Demolition Surveys and Ad-Hoc Bulk samples

Where any Management Surveys, Refurbishment / Demolition Surveys or AD-Hoc Bulk samples are carried out, in addition to the consultants own survey report an excel file containing the survey data must be supplied for entry into the Universities own asbestos database the data required and the precise format that it is required in can be found in the Data File Example (see appendix F).

These data files must be supplied along with the consultants own report (which shall be emailed in PDF format) and no invoices shall be paid until this survey data has successfully been loaded into the Universities asbestos database.

Tender Stage Sample Data Delivery

As part of the Tender process the consultant will be expected to supply sample survey data on a CD in the Universities specified format.

The data file supplied must be in the format shown in Appendix F Data File Examples and must be for a management survey of the building detailed in the word document "Asbestos Specification Appendix F Test Data" The consultant must use the data contained within this word document to produce the required import spread sheet, please note that the consultant is to provide appropriate jpeg images referenced in the correct way in a separate folder Asbestos Images (stored on the same CD)

Any of the required fields for the excel data file that are not specified within the word document may be populated as the consultant wishes (as long as the format is the same as that specified) e.g. risk assessment scores, surveyor names, recommendations etc.

The consultant must also use the CAD plans provided in Appendix F Building Plans to provide a PDF Survey plan showing the sample locations and if the areas contain asbestos or not (the format for this

survey plan shall be the same as the example provided in Appendix F Example Plan Format, please note if Asbestos positive samples are identified externally to the building the whole of the external building footprint is to be hatched out on the external level plan

The Provision of Management surveys

Prior to any surveys being carried out the consultant will be provided with CAD plans for the building and a copy of any relevant previous asbestos survey reports.

The survey will be carried out in accordance with HSG264 "The Survey Guide" and any sampling carried out as part of the survey will be carried out in accordance with HSG248 "The Analysts Guide"

Prior to the commencement of any Management Survey a suitable pre start site meeting will take place between the survey organisation and a member of the University Asbestos Management Team to identify any specialist requirements needed such as high level access equipment, electrical isolations, or University work permits PLEASE NOTE THESE VISITS SHALL NOT BE CHARGEABLE.

The start of the onsite works shall also be agreed along with the anticipated report completion date (these dates shall be forwarded to the commissioning officer / order originator via email.

On arrival at the premises the consultant must complete the Universities Contractors Hazard Exchange Checklist (see appendix b) here any risks presented by the work activity are identified to the commissioning officer / order originator along with the method of managing the risk, also the commissioning officer / order originator must point out any hazards specific to the site and how they must be managed. The consultant must carry out an initial walkthrough of the premises to identify any additional hazards before commencing any work

During the survey any areas that cannot be readily accessed must be reported to the Asbestos Team and the reason that access cannot be gained, in most cases the Asbestos Team will be able to facilitate access, and only those areas agreed by both the Consultant and Asbestos Team as inaccessible can be excluded from the survey (the consultant is to keep a log of these areas and details of with whom the no access has been agreed)

The Asbestos Team will also keep a log of agreed no access areas detailing the floor reference, area number, who is reporting the no access issue, the date and who from the Asbestos Team agrees that the area is inaccessible (these areas must be reported during the survey works and not when the consultants staff have left site).

Any reports received with non-agreed no access areas will be returned until proper access arrangements have been made and the reports amended accordingly (this may just be formalising the agreement of a no access area)

Where deemed necessary by the commissioning officer / order originator the consultant shall ensure that suitable signage is erected to indicate to staff to "keep out" of any areas under survey, warning of "surveying work in progress" there must also be detailed on the signage a mobile phone contact number for the survey team.

The consultant shall ensure at all times that minimum two man survey teams are utilized for survey work for this framework with appropriate PPE and RPE being supplied to those staff undertaking the work. Care must be taken to cause as little disruption to the building users as possible and sampling should be carried out when areas are unoccupied, this may lead to some waiting time.

The consultant will provide all necessary tools, ladders, access equipment, sampling bags, equipment and the like to complete the works in a safe manner.

The consultant will adopt a sampling procedure to keep the exposure of the analyst and the occupants of the premises to an absolute minimum.

Airborne emissions during sampling should normally be controlled by pre-wetting the material to be sampled with water and/or suitable wetting agents. Shadow vacuuming (holding the suction inlet close to the area where the dust is being produced) with a type H (BS 5415) vacuum cleaner should be used if wetting is likely to be ineffective or not safe to do.

Care should be taken to minimise the disturbance of ACMs and any dust or debris that might be present. Surfaces on which asbestos debris may fall should be protected with a sheet of impervious material such as polythene, which can be easily cleaned by wet wiping or using a suitable type H vacuum cleaner. All samples must be individually sealed in their own container or a sealable polythene bag, which is then sealed in a second container or polythene bag. The sample area must be left clean with no evidence of debris from the sampling operation and any sampling points sealed to prevent the release of fibres. Samples should be taken as discreetly as possible e.g. corners of ceilings, edges of floor tiles etc. Where it is necessary to inspect within wall cavities or through fixed ceilings the inspection point shall be covered with a suitably sized patch of pre painted white plywood that shall be fixed over the sample point using liquid nails or another similar product.

The University does not want the sample point identified with the use of one of the consultants sample stickers, instead a digital photograph of the sample area shall be taken and the location clearly marked on the CAD plan.

During the survey works any observations of 'high risk' asbestos hazards shall be notified to the Asbestos Team by phone so that appropriate action can be taken and also submitted via email to the Asbestos Team. (See appendix e, "Asbestos Risk Notification Form")

The Asbestos Team (where applicable) will invoke the Universities emergency procedure, but may require the consultant to take some basic measures to limit the risk such as; locking the door to the area to ensure no one enters.

Where items of pipe work, plant or other building elements have been replaced or recovered, or are likely to have been replaced or recovered, by an apparently non-asbestos material, every effort shall be made by the consultants surveyor to attempt, without causing undue damage to materials and decorations, to ascertain if there is any asbestos containing residue debris in-situ which has been left from previous asbestos stripping.

Samples of insulation shall be taken using a boring tool to ensure that a full thickness sample is taken.

The Consultant will ensure that all tools used for sampling are cleaned after each operation to ensure that there is no cross contamination between samples or fibre release into the air.

The Consultant will be responsible for disposal of samples at their own expense, and shall ensure that all asbestos positive samples are disposed of in accordance with the Hazardous Waste Regulations 2005 and other relevant legislation and Local Authority requirements

Contents of the Final Survey Report (to be supplied in PDF format)

The following information is to be recorded in all cases:

- Name and address of the organization carrying out the survey.
- Premises name and address
- Dates of survey.
- Names of surveyors.
- Names of analysts.
- Who requested the survey (In the case of Management surveys this shall always be the University of Warwick))
- Type of survey including scope of works.
- Building identification number (supplied by the commissioning officer / order originator)
- Building floor number e.g. 000 Ground Floor, L01 First Floor etc.
- Area reference from plan (supplied) e.g. 015 (room 15)
- Area description e.g. classroom, storeroom, toilet block etc.

- Area general construction e.g. solid walls, plaster ceiling, concrete floor etc.
- Any relevant notes.

Where it is necessary to sample a material to either prove or disprove that it contains asbestos, the following information must be recorded in all cases;

- Sequential sample number e.g. 001, 002 etc.
- Digital photograph of sample point
- Actual, presumed or referred sample.
- Item / Material e.g. vinyl floor tile, cement panel etc.
- Confirmation that the materials is or is not asbestos
- Asbestos type.
- Position e.g. below radiator shelf.
- A Material assessment carried out as per HSG 264.
- A Priority assessment carried out as per HSG 227.
- The location of the sample shall be marked clearly on the plans produced by the consultant (note hand drawn plans will not be acceptable either a CAD drawing or equivalent computer produced plan must be supplied)
- In the case of asbestos positive samples a recommended action of either – Manage, Remedial, Remove
- Bulk analysis report

Survey information must be made available to the University no later than 14 days after the completion of the survey and be submitted with the associated invoices.

Bulk analysis report

The bulk analysis report must be attached and should include:

- The name and address of the laboratory carrying out the bulk identification
- A reference to the method used
- A clear statement of the laboratory's current UKAS accreditation status and number for bulk sampling
- A table summarising the results of the bulk analysis, including asbestos found or not found, what type of asbestos, the sample number, building number, floor number and room number.
- Dates the bulk analysis was carried out and reported by the laboratory
- The names and signatures of the analysts and countersigning person

The provision of Refurbishment / Demolition surveys

Arranging the survey

The University will, (where possible) prior to the survey commencing, supply the consultant with a copy of any relevant asbestos reports, and a CAD plan of the building layout.

Prior to any surveys being carried out the commissioning officer and or order originator will arrange a pre start walkthrough on site with the consultant to agree the scope of the survey and all arrangements including site access, removal of obstructing items, if a removal contractor will be required to attend during the survey to construct any required enclosures, what if any air testing will be required following the taking of intrusive samples and any specialist access equipment (which can be charged for using the schedule of rates) required to allow the survey to be undertaken successfully.

(This information will be documented and logged on the Universities Asbestos Survey Scoping Form (see appendix c) which must be signed off by both parties prior to any survey works commencing to indicate the agreement of the survey scope. .

The start of the onsite works shall also be agreed along with the anticipated report completion date (these dates shall be forwarded to the commissioning officer / order originator via email along with the

Survey Scoping Form (see appendix c) for the agreed survey works. These pre start meetings shall be chargeable at the appropriate hourly rate tendered in the schedule.

Undertaking the Survey- Refurbishment / Demolition

On arrival at the premises the consultant must complete the Universities Contractors Hazard Exchange Checklist (see appendix b) here any risks presented by the work activity are identified to the commissioning officer / order originator along with the method of managing the risk, also the commissioning officer / order originator must point out any hazards specific to the site and how they must be managed. The consultant must carry out an initial walkthrough of the premises to identify any additional hazards before commencing any work.

The consultant will undertake intrusive inspections to all areas of the fabric of the building identified in the Asbestos Survey Scoping Form (see appendix c) including fixed plant and equipment (where it is agreed that these must form part of the survey, and any necessary isolations have taken place). In certain circumstances, in particular where the building is in continuous occupation, the level of intrusion may have some limitations placed on it, ***the level of intrusion must be agreed with the commissioning officer / order originator at the time of the pre start walkthrough.*** Any limitations must be clearly recorded by the consultant on the Asbestos Survey Scoping Form and also identified in the final report, including a recommendation for further investigation works if required.

Where deemed necessary by the commissioning officer / order originator the consultant shall ensure that suitable signage is erected to indicate to staff to “keep out” of any areas under survey, warning of “surveying work in progress” there must also be detailed on the signage a mobile phone contact number for the survey team.

The consultant shall ensure at all times that minimum two person survey teams are utilised for refurbishment / demolition survey work for this framework with appropriate PPE and RPE being supplied to those staff undertaking the work. Care must be taken to cause as little disruption to the building users as possible and sampling should be carried out when areas are unoccupied, this will lead to some waiting time.

Asbestos surveys shall be carried out in accordance with HSE Guidance document HSG 264 The Survey Guide. The consultant shall provide all necessary tools, ladders, access equipment, sampling bags, equipment and the like to complete the works in a safe manner.

The consultant shall adopt a sampling procedure to keep the exposure of the analyst and the occupants of the premises to an absolute minimum.

Airborne emissions during sampling should normally be controlled by pre-wetting the material to be sampled with water and/or suitable wetting agents. Shadow vacuuming (holding the suction inlet close to the area where the dust is being produced) with a type H (BS 5415) vacuum cleaner should be used if wetting is likely to be ineffective or not safe to do.

Care should be taken to minimise the disturbance of ACMs and any dust or debris that might be present. Surfaces on which asbestos debris may fall should be protected with a sheet of impervious material such as polythene, which can be easily cleaned by wet wiping or using a suitable type H vacuum cleaner. All samples must be individually sealed in their own container or a sealable polythene bag, which is then sealed in a second container or polythene bag. The sample area must be left clean with no evidence of debris from the sampling operation and any sampling points sealed to prevent the release of fibres. Samples should be taken as discreetly as possible e.g. corners of ceilings, edges of floor tiles etc. Where it is necessary to inspect within wall cavities or through fixed ceilings the inspection point shall be covered with a suitably sized patch of pre painted white plywood that shall be fixed over the sample point using liquid nails or another similar product.

Damage must be kept to the minimum reasonably practicable to survey the area, where appropriate the University shall expect the consultant to use equipment to ensure this (such as endoscopes which

will be deemed to be a normal and not additional specialist equipment for this framework and hence non chargeable)

The University does not want the sample point identified with the use of one of the consultants sample stickers, instead a digital photograph of the sample area shall be taken and the location clearly marked on the CAD plan.

During the survey works any observations of 'high risk' asbestos hazards shall be notified to the Asbestos Team by phone so that appropriate action can be taken and also submitted via email to the Asbestos Team. (See appendix e, "Asbestos Risk Notification Form")

The Asbestos Team (where applicable) will invoke the Universities emergency procedure, but may require the consultant to take some basic measures to limit the risk such as; locking the door to the area to ensure no one enters.

Where items of pipe work, plant or other building elements have been replaced or recovered, or are likely to have been replaced or recovered, by an apparently non-asbestos material, every effort shall be made by the consultants surveyor to attempt, without causing undue damage to materials and decorations, to ascertain if there is any asbestos containing residue debris in-situ which has been left from previous asbestos stripping.

Samples of insulation shall be taken using a boring tool to ensure that a full thickness sample is taken.

The Consultant will ensure that all tools used for sampling are cleaned after each operation to ensure that there is no cross contamination between samples or fibre release into the air.

The Consultant will be responsible for disposal of samples at their own expense, and shall ensure that all asbestos positive samples are disposed of in accordance with the Hazardous Waste Regulations 2005 and other relevant legislation and Local Authority requirements

Contents of the Final Survey Report (to be supplied in PDF format)

The following information is to be recorded in all cases:

- Name and address of the organization carrying out the survey.
- Premises name and address
- Dates of survey.
- Names of surveyors.
- Names of analysts.
- Who requested the survey (The name of the commissioning officer / order originator)
- Type of survey including scope of works. (include a copy of the Survey Scoping Brief [appendix c](#))
- Building identification number (supplied by the commissioning officer / order originator)
- Building floor number e.g. 000 Ground Floor, L01 First Floor etc.
- Area reference from plan (supplied) e.g. 015 (room 15)
- Area description e.g. classroom, storeroom, toilet block etc.
- Area general construction e.g. solid walls, plaster ceiling, concrete floor etc.
- Any relevant notes.

Where it is necessary to sample a material to either prove or disprove that it contains asbestos, the following information must be recorded in all cases;

- Sequential sample number e.g. 001, 002 etc.
- Digital photograph of sample point
- Actual, presumed or referred sample.
- Item / Material e.g. vinyl floor tile, cement panel etc.
- Confirmation that the materials is or is not asbestos

- Asbestos type.
- Position e.g. below radiator shelf.

- A Material assessment carried out as per HSG 264.
- The location of the sample shall be marked clearly on the plans produced by the consultant (note hand drawn plans will not be acceptable either a CAD drawing or equivalent computer produced plan must be supplied)
- Bulk analysis report

Survey information must be made available to the University no later than 14 days after the completion of the survey and be submitted with the associated invoices.

Bulk analysis report

The bulk analysis report must be attached and should include:

- The name and address of the laboratory carrying out the bulk identification
- A reference to the method used
- A clear statement of the laboratory's current UKAS accreditation status and number for bulk sampling
- A table summarising the results of the bulk analysis, including asbestos found or not found, what type of asbestos, the sample number, building number, floor number and room number.
- Dates the bulk analysis was carried out and reported by the laboratory
- The names and signatures of the analysts and countersigning person

Emergency call out to Asbestos Incident

Occasionally it will be necessary to contact a consultant to attend site as an emergency, the consultant is to tender a price on the schedule to allow for attending any University premises within 2 hours from the receipt of a phone call requesting emergency response, the response may be required out of normal working hours so a 24 hours a day seven days a week contact number must be provided by the contractor.

When responding to an emergency request the consultant shall ensure that in every case the operative attends the site in question within 2 hours of the receipt of the phone call reporting the emergency, the operative shall be equipped with suitable equipment to undertake air sampling (minimum 3 pumps), phase contrast microscope to perform fibre counting and have the necessary training and certification to carry out such testing. Once at the site the consultant shall contact a member of the Universities Asbestos Team (if they are not already on site) to explain the nature and probable extent of the incident and to advise (if requested) if further actions are necessary such as the requirement for a decontamination unit to be sent to site.

The consultant shall also have the facility to arrange for any sample analysis to be carried out on suspected asbestos containing materials at a UKAS accredited laboratory within 3 hours of the sample being taken.

The University will issue a copy of its emergency procedure / action plan to the successful consultants and a briefing / training session will be held with the CLO at the commencement of the framework period.

AD-HOC BULK SAMPLING

On occasion sampling may have to be undertaken in specific areas as directed by the Universities commissioning officer / order originator here the consultant will be instructed to sample a specified item or items (so no actual surveying is required)

On arrival at the site the surveyors must complete the Council's Hazard Identification Checklist (see appendix b). Here any risks presented by the work activity are identified to the commissioning officer / order originator along with the method of managing the risk, also the commissioning officer / order originator must point out any hazards specific to the site and how they must be managed. The surveyors

must carry out an initial walkthrough of the premises to identify any additional hazards before commencing any work.

For ad-hoc sampling purposes one man will be required on site. In certain circumstances e.g. ladder or duct-work more than one man will be required, this must be agreed with the commissioning officer / order originator prior to attending site. Appropriate PPE and RPE must be supplied to those staff undertaking the work. Care must be taken to cause as little disruption to the building users as possible and sampling should be carried out when areas are unoccupied, this may lead to some waiting time.

Asbestos sampling shall be carried out in accordance with HSG248 and HSG 264.

The Consultant will provide all necessary tools, ladders, access equipment, sampling bags, equipment and the like to complete the works in a safe manner.

The Consultant will adopt a sampling procedure to keep the exposure of the analyst and the occupants of the premises to an absolute minimum.

Airborne emissions during sampling should normally be controlled by pre-wetting the material to be sampled with water and/or suitable wetting agents. Shadow vacuuming (holding the suction inlet close to the area where the dust is being produced) with a type H (BS 5415) vacuum cleaner should be used if wetting is likely to be ineffective or not safe to do.

Care should be taken to minimise the disturbance of ACMs and any dust or debris that might be present. Surfaces on which asbestos debris may fall should be protected with a sheet of impervious material such as polythene, which can be easily cleaned by wet wiping or using a suitable type H vacuum cleaner. All samples must be individually sealed in their own container or a sealable polythene bag, which is then sealed in a second container or polythene bag. The sample area must be left clean with no evidence of debris from the sampling operation and any sampling points sealed to prevent the release of fibres. Samples should be taken as discreetly as possible e.g. corners of ceilings, edges of floor tiles etc. A variety of methods such as PVA sprays, tapes, paints and plaster may be used to reseal the sampling point and this should be done to match the existing décor as closely as possible.

Damage must be kept to the minimum reasonably practicable to survey the area.

During the sampling works any observations of 'high risk' asbestos hazards shall be notified to the Universities Asbestos Team immediately by phone so that appropriate action can be taken and also submitted in writing. (See appendix e "Immediate Notification of Serious Defect", this form should be scanned and e-mailed to the Universities Asbestos Team who will invoke the Universities Emergency Procedure

If the consultant notes that there are substantial quantities of a visually similar material then a small representative number of samples shall be analysed and these shall be taken as being representative of the whole area.

Samples of insulation shall be taken using a boring tool to ensure that a full thickness sample is taken.

The Consultant shall ensure that all tools used for sampling are cleaned after each operation to ensure that there is no cross contamination between samples or fibre release into the air.

Samples shall be taken so as to cause as little damage to the fabric and décor of the building as is reasonably practicable. Sampling shall be conducted taking samples of the minimum size permitted within HSG248 and HSG 264.

The Consultant shall be responsible for disposal of samples at their own expense, and shall ensure that all positive samples are disposed of in accordance with the Hazardous Waste Regulations 2005 and other relevant legislation and Local Authority requirements

Prior to the formal report being issued which for ad-hoc sampling must be within 1 week of the completion of site works by the consultant, the results should be communicated to the order originator / commissioning officer within 48 hours via email detailing the results of the sampling, confirming whether the items sampled do or do not contain asbestos and the locations the samples were taken from (these will have been supplied by the commissioning officer / order originator initially)

Contents of the Bulk analysis report (to be supplied in PDF format)

- Name and address of the organization carrying out the survey
- Building identification number
- Building floor number e.g. 000 Ground Floor, L01 First Floor etc.
- Area reference from plan (supplied) e.g. 015 (room 15)
- Description of the item sampled including a photograph of the item
- The location of the sample shall be marked clearly on the plans produced by the consultant (note hand drawn plans will not be acceptable either a CAD drawing or equivalent computer produced plan must be supplied)
- Material assessment
- Confirmation that the materials is or is not asbestos
- Name of person taking the sample
- Date sampling carried out
- Bulk analysis report

Bulk analysis report

The bulk analysis report should include:

- The name and address of the laboratory carrying out the bulk identification
- A reference to the method used
- A clear statement of the laboratory's current UKAS accreditation status and number for bulk sampling
- A table summarising the results of the bulk analysis, including asbestos found or not found, what type of asbestos, the sample number, building number, floor number and room number.
- Dates the bulk analysis was carried out and reported by the laboratory
- The names and signatures of the analysts and countersigning person

Full time air monitoring including four stage clearance testing

Where works are required that necessitate the removal of notifiable asbestos the University will require (unless agreed by the Universities Asbestos Compliance Manager) full time on site air monitoring to ensure that all removal works are undertaken as per the removal contractors agreed plan of work and are carried out on site in a safe and effective manner concluding with the issue of a certificate of reoccupation following the passing of a four stage clearance process.

The Consultant is responsible for ensuring:

- That asbestos removal is being undertaken in accordance with current legislation and regulations
- All aspects of asbestos removal are carried out in a safe manner so as not to present a risk to workers or others
- All relevant documentation is correct and available on site
- All plant and equipment is suitable and sufficient for the work in hand
- The asbestos removal contractor's plan of work is suitable for the work in hand and is being adhered to.
- Witnessing enclosure checks and smoke tests

- Ensuring the asbestos removal contractor's staff are using appropriate work methods and equipment to minimise exposure to asbestos
- Suitable and sufficient air testing is carried out
- The 4-stage clearance process is undertaken
- The waste arrangements are satisfactory
- In conjunction with the removal contractor the site is left in a clean and safe condition at the end of each working day and on completion of the works
- Informing the client of any significant events during the removal process
- Informing the client when the removal process is complete

The consultant, on behalf of the University, is given authority to stop works at any time; if they deem safety and/or legislative requirements are not being met.

Any deficiencies must be reported to the Universities Asbestos Team.

Asbestos analytical work and clearance testing shall be carried out in accordance with HSG248, and the company's UKAS accredited methodologies.

The purpose of air monitoring is to measure the concentration of asbestos fibre in the air in order to:

- Confirm effectiveness of control measures during asbestos removal works
- Confirm effectiveness of cleaning and removal as part of the clearance process
- Ensure compliance with statutory requirements
- Measure ambient fibre levels to provide information and reassurance
- Advise and take any corrective actions as deemed necessary

All necessary air testing is to be undertaken. This will include background sampling, leak sampling, clearance indicator sampling, reassurance sampling and (on an occasional basis) compliance sampling.

The consultant shall provide all necessary equipment to carry out their duties.

The consultant will immediately bring to the attention of the Universities Asbestos Team any elevated air monitoring readings or problems associated with any works and any corrective actions taken or required.

As part of the clearance procedure the consultant will undertake the final visual inspection of the enclosure to confirm that all asbestos materials have been removed as far as is reasonably practicable. If there is some doubt whether the asbestos materials can be completely removed then the Asbestos Team must be contacted for instructions prior to removal of the enclosure. If it is not possible to remove all the asbestos materials, then the consultant shall include in the report that asbestos remains in-situ, or that there is a possibility that asbestos remains but access was not possible.

Site Diary

The consultant will maintain a site diary for the duration of the site works.
The following information will be recorded:

- On/off site times for consultant and removal contractor
- Number of removal contractor's & consultants workers on site.
- On/off times for any other visitors (in relation to works) and their names and position
- Advise and take any corrective actions as deemed necessary

- Measure ambient fibre levels to provide information and reassurance
- Ensure compliance with statutory requirements
- Chronological list of significant events in relation to the works e.g. documentation
- checks, smoke tests, air testing and clearance inspection, etc.
- Plans showing the location of all air testing carried out for the duration of the works clearly referenced using the Universities building identification numbers, floor identification numbers and area references.

At completion of the works this information should be forwarded to the order originator / commissioning officer together with any air monitoring reports and clearance certificates.
Final reports will be made available no later than 14 days after completion.

Air testing

On occasion other, air testing may be undertaken for reassurance or other purposes under the direction of the Universities Asbestos Team

The results of this air testing should be communicated to the Asbestos Team following analysis and final reports be made available no later than 14 days after completion of the works.

The Consultant shall be responsible for disposal of samples at his own expense, and shall ensure that all positive samples are disposed of in accordance with the Hazardous Waste Regulations 2005 and other relevant legislation and Local Authority requirements

Sample and site labelling

Whenever a sample is collected, it should be assigned a unique identifier that is also recorded in the site documentation, so that the sample origin may be traced at a later date. Plans showing the location of all air testing carried out for the duration of the works clearly referenced using the Universities building identification numbers, floor identification numbers and area references

Sample analysis and recording

Analysis of the samples collected should be carried out and reported in accordance with the method given in HSG248.

Contents of the air monitoring / works report

The report provided must meet the minimum requirements of HSG248 and will be provided in PDF format

Provision of Asbestos Awareness Training

The University has a need to supply training for asbestos awareness. The training must meet the requirements set out by the HSE for Category A (asbestos awareness) and shall be certified. The training shall be accredited by either UKATA or IATP to meet the required syllabus.

All classroom courses are to be delivered in one of the University supplied teaching spaces where the University will supply appropriate refreshments

General conditions

The University will only pay for time on site for works issued under this framework and no travelling charges will be paid for it, is also a requirement that unless specified within the schedule of rates (see appendix d) all materials, tools and labour are included in the hourly rates tendered.

- The rates tendered for Management surveys include for all travelling, sampling, analysis, production of reports production of any required CAD plans and supply of the electronic survey data in the format requested on CD (Validate and upload the survey data for Q2)
- The rates tendered for Refurbishment / Demolition surveys include for all travelling, sampling, analysis, production of reports and production of any required CAD plans and supply of the electronic survey data in the format requested on CD.
- The rates tendered for air monitoring and four stage clearance testing include all travelling, samples taken, fibre counting, all four stages of the clearance process (where required), production of the site diary and final report including plans.
- The rates tendered for ad-hoc bulk sampling include for all travelling, sampling, analysis, production of reports and production of any required CAD plans, and supply of the electronic survey data in the format requested on CD.
- The rates tendered for emergency call out to an asbestos incident include for all required travelling, sampling, analysis and associated reports.
- The KPI's will be agreed with the Asbestos Compliance Manager as part of the Suppliers progress meetings.

Invoicing for completed works

Following the completion of onsite works the consultant shall ensure a copy of his invoice is forwarded to the Estates Office along with copies of all associated paperwork e.g. air monitoring, bulk analysis certificates and copies of survey reports also included shall be a copy of the signed Contractors Hazard Exchange Checklist (appendix b).

No invoice shall be passed for payment unless the items described above are received by the University (unless prior agreement has been given the Universities Asbestos Compliance Manager)

Structure of the submitted invoice

All invoices issued by the consultant under the conditions of this framework are to clearly identify they are a "Framework Invoice" the invoice is to be structured in a way that ensures it is directly linked to the elements identified within the schedule of rates and that the invoice total is comprised from those identifiable elements (example supplied see appendix a), invoices not in this format will returned to the consultant to be reworked.

Protective Clothing and Identification

The consultant will supply all staff to be used for these works with a suitable identity card and shall provide their operatives with suitable protective clothing as deemed necessary following the completion of risk assessments marked with the company logo. The identity card should contain a recent photograph of the operative, his/her name and the consultants address, telephone number and signature of a Company Director.

Securing Unfinished Works and Materials

The consultant will be responsible for leaving all unfinished works in a safe condition at the end of each day's work, and shall include for making and fixing any temporary supports or other protective devices which will, in the opinion of the Asbestos Team provide adequate protection from interference by, and damage or injury to, unauthorised persons or the public at large. Materials and waste should not be left in a condition that may cause a potential fire risk to the site.

Security

The consultant shall be responsible for contacting the order originator / commissioning officer prior to commencement of any inspection or repairs to disarm the alarm system where applicable. The consultant shall also ensure that the premises is secure before leaving site and contact the appropriate person to re-arm the alarm system where applicable.

Appendix 11 - Asbestos Survey Audit Form

Auditor:		Role of Auditor:	
Building Number:		Building Name:	
Asbestos Surveying Contractor:		Asbestos Surveying Contractor Tel:	
Surveyor Name(s):		Surveyor Tel:	
Project Number:		Date:	

Management		Refurbishment		Demolition		Bulk Sample	
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Description of Works:	
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Site Inspections	Y	N	N/A	Comments
Have sample points been sealed/made good?				
Are the survey areas left clean and free of debris?				

Have adequate intrusion points been made?				
Have intrusion points been made good using the University agreed practice?				

Site Inspections

Sample Point(s)

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)
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Comments

Site Inspections

Survey area

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments

Site Inspections

Survey Point(s)

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments

Site Inspections

Intrusion Point(s)

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments

Site Inspections

Missed Sample(s)

Photo	Photo	Photo	Photo	Photo
Comments	Comments	Comments	Comments	Comments

Audit Overview

Total Marks:		
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Did the audit pass? (please tick)	Pass		Fail	
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Auditors Signature:	
Date:	

Asbestos Removal Audit Form

Auditor:		Role of Auditor:	
Building Number:		Building Name:	
Asbestos Removal Contractor:		Asbestos Removal Contractor Tel:	
Supervisor Name(s):		Supervisor Tel:	
Project Number:		Date:	

Description of Works:	
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Site Personnel Names	POSITION Sup/Op	Medical In Date? Y/N	Training In Date? Y/N	Face Fit Tested? Y/N	Clean Shaven? Y/N

Site Documentation	Y	N	N/A	Comments	
Is the work notifiable to the HSE?					
Is there a valid ASB5 Notification Form on site? (i.e. in date)					
Is there a copy of Waiver (if applicable) on site?					
Is there a Plan of Work on site? Is this suitable for the work being carried out? (Please use the Plan of Work Aide Memoire).					
Is there a valid copy of the License on site? (i.e. in date)					
Are daily site and plant inspection records available for inspection and up to date? (Including DCU, enclosure, airlocks, NPU's and H-Type Vacs).					

Are there copies of COSHH Assessments in the site file for substances on site?				
Are DOP test certificates available for the plant on site (including the NPU in the dirty end)? (Comment on what plant is present)				

During Removal/Remedial Works

Site Inspections

Work Area

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments

Site Inspections

PPE/RPE

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments

Site Inspections

Warning Signage

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

General

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Transit/Waste Routes

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Enclosure

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Airlock/Baglock

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Hygiene Facility

Photo(s)

A large, empty rectangular box with a black border, intended for the user to upload or describe one or more photographs of the hygiene facility.

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Waste Disposal

Photo(s)

A large, empty rectangular box with a thin black border, intended for the user to upload or describe one or more photographs related to the waste disposal inspection.

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections

Housekeeping

Photo(s)

A large, empty rectangular box with a black border, intended for the user to upload or describe photo(s) related to the housekeeping inspection.

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Post Removal/Remedial Works

Site Inspections – Post Removal

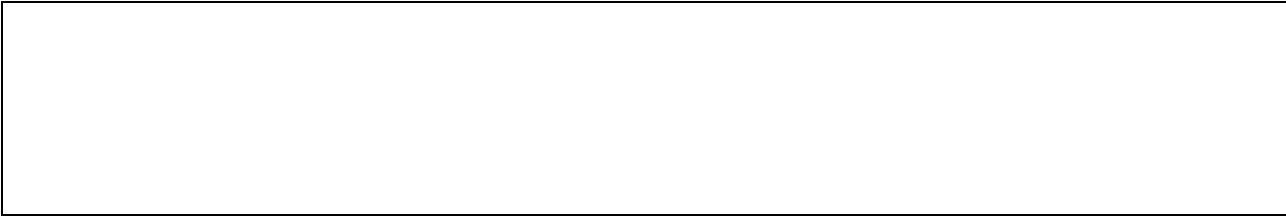
Work Area

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections – Post Removal

ACMs Removed

Photo(s)

A large, empty rectangular box with a thin black border, intended for uploading or pasting one or more photographs of the removed Asbestos Containing Materials (ACMs).

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections – Post Removal

ACMs Remaining

Photo(s)

A large, empty rectangular box with a thin black border, intended for the user to upload or describe photo(s) of the site.

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections – Post Removal

Has The POW Been Adhered To?

Photo(s)

A large, empty rectangular box with a thin black border, intended for the user to upload or describe photo(s) of the site inspection.

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Site Inspections – Post Removal

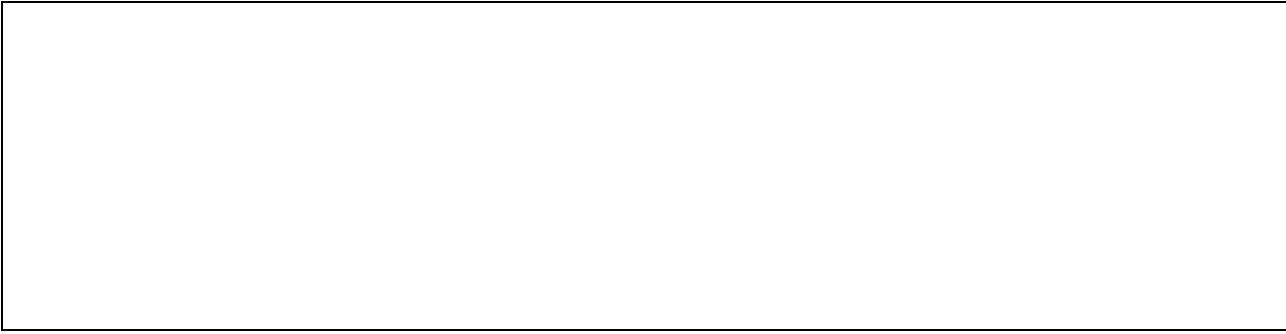
Housekeeping

Photo(s)

Quality

Excellent (5)	Good (4)	Satisfactory (3)	Poor (2)	Serious Issue (1)

Comments



Audit Overview

Total During Removal Marks:		
Total Post Removal Marks:		
Total Marks:		

Did the audit pass? (please tick)	Pass		Fail	
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Auditors Signature:	
Date:	

Service Desk Audit

Audit of Estates Service desk Operators compliance to SOP E0002

Audit Objectives

- To measure the service desk operators compliance the agreed standard operating procedure.
- To identify any potential non conformities.
- To enable areas for improvement to the process to be identified.
- To identify any necessary training requirements.

Audit Scoring

Unsatisfactory Non-compliance with the standard operating procedure.

Satisfactory Compliant with the standard operating procedure.

Target Areas

The following items, identified in the Standard Operating Procedure E0002 that is to be followed by the Estates Offices Maintenance service desk operators when assessing responsive maintenance works prior to issue to the maintenance trades.

The SOP applies to all University controlled buildings covered by the Estates service desk.

The audits will sample a representative number of work that has been authorised by the service desk Operators as a Permitted Task within the review period.

Auditor Findings and Outcome (compliance/ non-compliant)

Recommended Audit Period

The frequency of the audit shall be comprised of monthly audits with any identified non conformities being reported to the Head of Compliance and Assurance and the Head of Facilities who will make recommendations for retraining or closer supervision of the staff involved.

Action Plan

The corrective actions, timescale and responsible person should be completed.

Observation/advice	Corrective Action Planned	Timescale	Responsible

Audit Item Nr	Audit area	Audit response/observation	Docket Nr for rows 3 to 10	Compliant or non-Compliant Yes or No
1	Task list location	Open Concerto, view current version		
2	Building List	Open Concerto, view current version		
3	Amber building 1 – Building ID Number	Justification for permitting task provided	Docket Number	
4	Amber building 2 – Building ID Number	Justification for permitting task provided	Docket Number	
5	Amber building 3 – Building ID Number	Justification for permitting task provided	Docket Number	
6	Amber building 4 – Building ID Number	Justification for permitting task provided	Docket Number	
7	Green building 1 – Building ID Number	Justification for permitting task provided	Docket Number	
8	Blue builjhhdhding 1 – Building ID Number	Justification for permitting task provided	Docket Number	
9	Red building 1 – Building ID Number	Justification for not permitting task provided (why passed to Asbestos team)	Docket Number	
10	Any building why did you pass this to the Asbestos team.		Docket Number	