ACKNOWLEDGEMENTS

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Mr A Tsui of the Crown Prosecution Service.

Our thanks also go to BMI Health Services, and Mrs S King in particular, who worked with the sub-group on this revision.

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INTRODUCTION
INTRO 1.0  INTRODUCTION

INTRO 1.1  BACKGROUND AND PURPOSE

Following the Efficiency Scrutiny on the Management of the Civil Estate, published in May 1994, Government Departments took over responsibility as principals, on 1 April 1996 for the property they occupy. To support them in fulfilment of this responsibility, an executive agency was created: the Property Advisers to the Civil Estate (PACE). The main functions of PACE are to:

- co-ordinate the Government’s activity on the Civil Estate;
- promote rationalisation of the Estate;
- provide Departments with a body of ‘off-the-shelf’ advice and support; and
- provide intelligent customer support on repayment terms to those Departments who do not have in-house facilities.

As part of the remit to provide ‘off-the-shelf’ advice, PACE’s Central Advice Unit, overseen by a sub-group of its interdepartmental Joint User Group, has developed the Premises Management Guide (PMG). The PMG has been designed to assist Departments with their property management responsibilities, in particular their role as an ‘intelligent customer’, in the day to day management of their properties and in appointing, instructing and monitoring consultants and contractors. The Guide includes general advice and recommended procedures that may be followed in connection with premises management and covers a range of issues with which Departments should be familiar in managing their estates. Departments have the option of relying on their own in-house expertise in managing these activities or buying in such support from PACE; whichever route they choose, Departments retain the final responsibility for all decisions about the property they occupy. Dear Accounting Officer letter DAO (GEN) 1/96 sets out the framework of accountability and the respective responsibilities of Departments and PACE.

The PMG assumes that Departments will ‘contract out’ most of the day to day premises management functions to external service providers. In order to ensure consistency, such providers are referred to as ‘Premises Advisers’ (PAs) throughout this Guide. From time to time, Departments may well wish to employ other specialist consultants and these are referred to where necessary in the Guide.
This second edition of the Guide has been redrafted considerably in order to take account of legislative and policy changes, particularly on Health and Safety and environmental issues, and the main body of guidance has been re-arranged into a more user friendly order. Substantial cross referencing exists between the PACE Central Advice Unit family of guides and the reader is encouraged to refer to them for additional guidance and information.

The PMG has been written specifically to assist informed lay persons and is in no way intended to be substituted for proper professional expertise from engineers, surveyors and professional premises management practitioners. It provides advice on effective premises management, gives advice on how this may be achieved and provides references for further or more detailed information.

The PMG will be updated from time to time when necessary and the CAU will publish Information Notes giving details of any important changes.
The format of the PMG follows that of the CAU suite of guidance. Each main chapter begins with a contents page for the chapter and the chapter itself is further divided into subject sections and sub-sections covering single topics where appropriate.

The top of each page has an icon showing the Chapter, Subject Section and Sub-section (where appropriate) and, at the bottom of the page, is the page reference, based on the chapter acronym, together with the publishing information showing edition and amendment issue dates.

Wherever appropriate, each topic is concluded with a guidance section titled “What should you do” (as Premises Manager). This section advises, for each of the main points discussed in the foregoing main section, the professional expertise that may be required and the specific advice which can be expected from appointed specialist advisers.

In addition, tables or lists providing further information or references are inserted as Annexes to the main section concerned (on different coloured paper to the main body of text). These Annexes are listed on the contents pages.

The PMG also contains a comprehensive subject Index at the back of the Guide which will lead the reader to information on specific subjects.

The acronyms denoting the main chapters are:

- **INTRO**  Introduction
- **STR**  Strategic
- **PMCP**  Premises Management in Crown Occupied Premises
- **OPT**  Options for Organising Premises Management
- **FIN**  Financial Control
- **CONT**  Contractual Control
- **EMEE**  Environment
- **H&S**  Health and Safety
- **PMR**  Premises Manager’s Remit
- **MTCE**  Maintenance, Alterations and Minor New Works
- **PLMT**  Planned Maintenance
- **INDEX**  Index.
The right hand margin contains, where appropriate, icons relating to the adjoining text. These are shown below.

This icon cross-refers to other parts of the PMG or other PACE Guides which contain related information. The icon will give the Chapter acronym and relevant sub-section number - the reference found at the bottom of each page. Alternatively, the icon may refer to another Guide such as the Estates Services Guide or the Guide to Requirements for Office Buildings.

The crown icon denotes those areas where Crown Immunity or exemption exists as there are circumstances particular to the Crown.

This warning icon indicates where particular care should be taken to ensure that the Departments, or their advisers, are taking relevant action to avoid prejudicing their property and contractual interests.

This warning icon indicates where extreme care should be taken to ensure that the Department's statutory obligations are fulfilled, particularly with respect to health and safety matters.

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DEFINITIONS

PREMISES MANAGER: The person with responsibility for premises management functions as described in PMG. Such a person may be known by other names, depending upon the Department concerned, eg Accommodation Manager, Accommodation Officer, Facilities Manager, etc.

PREMISES ADVISER: A person or organisation with a duty to provide technical, professional, legal, environmental or other expert advice or support to the Premises Manager (PM). Such a person or body may be an in-house professional or technical officer, a consultant, a managing agent or a specialist contractor used in a consulting role.

PROPERTY ADVISER: A Building Surveyor, Estate Surveyor or related Specialist Consultant.

FRAMEWORK AGREEMENTS: A framework agreement is a purchasing arrangement under which there is no legal obligation on the part of the buyer to make a purchase. To summarise their use, framework agreements are frequently employed where the precise amount of goods or service required cannot be quantified. In these circumstances, suppliers are asked to tender their prices against a usage guide from previous years, but no contractual commitment is made to buy any or all of a maximum quantity specified. Within Government, they are known by many names, for example, enabling arrangements, demand order contracts, standing offers, call-off contracts and so on. Sometimes they are confused with and are actually referred to as 'call-off contracts'.
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This section of the Guide gives a basic understanding of premises management responsibilities, functions and roles together with advice on devising policies and strategies for maintenance, new works and procurement, tailored to particular departmental requirements.

It should be noted that premises-related expenditure forms the second largest call on departmental budgets, after salaries.

Departments are responsible for ensuring that their estate or individual premises are maintained, are suitable for operational use, meet statutory and contractual requirements and retain their value as a Government asset. HM Treasury requires these responsibilities to include:

• appointing and instructing premises advisers and contractors to supervise and undertake works and services;

• dealing with local or other public authorities;

• ensuring the safety of staff and visitors to their properties;

• observing all statutory, technical and mandatory requirements relating to land, buildings and services, including communications with statutory undertakers, utility companies and suppliers of other services;

• ensuring that all aspects of premises management are exercised on a value for money basis with full regard to whole life costs and the achievement of Government targets for reducing environmental impacts on its activities; and

• obtaining any necessary Parliamentary or Treasury authority for expenditure.
STR 1.1

INTELLIGENT CUSTOMER ROLE

In devising the appropriate estate strategy to suit departmental operations it is essential to appreciate the minimum requirements for the in-house (within Government) role. HM Treasury requires Departments to retain sufficient competent intelligent customer support resource to be able to brief and manage professionals, ask the right questions, know when the correct answers are being given and decide what further action to take. The required expertise can be achieved by:

- training in-house administrative staff to the appropriate level of competency;
- employing PACE; or
- employing the requisite professionals in-house.

Buying intelligent customer support from the private sector under a framework agreement or contract is currently not an option open to Departments.

To help Departments assess their resource requirements, some explanation of their role is set out below.

The term ‘intelligent customer’ relates that residual function which remains with the purchaser of services once the provision of such services has been outsourced. It is a role that must remain within Government, whatever the source of supply. The purchaser of property-related procurement or supply functions needs to possess sufficient in-house knowledge, experience or expertise relating to those functions to plan, specify, commission and manage subsequently the services which are being procured in order to ensure best value for money is obtained to the Exchequer.

The scope of the intelligent customer capability required will, of necessity, be a matter of judgement, based not only on the nature of Departments’ properties, but also their approach to property management. For example, whilst it might be possible in some areas to set a consultant to judge other consultants and so reduce the number of in-house purchasing and contract management staff, that is not always feasible in reality. Ultimately, there remains with Departments, residual responsibility for both sound management and public accountability. Purchasers must be able to demonstrate value for money in the services procured through efficient management of budgets, effective use of resources and energy, pro-active monitoring of expenditure and benchmarking of services.

What should you do?

1. Ensure that full account is taken of the associated intelligent customer role and its economic provision when deciding maintenance and new works strategies.
2. Consult CAU where necessary.
PREMISES MANAGER (PM) ROLE

Although the extent of PMs’ responsibilities will be dependent on individual Departments’ policies and property occupation terms, and will vary widely, it is likely that some, or all, of the following will form part of those responsibilities:

- **Building Maintenance**, which may include the procuring and monitoring of inspection, repair and maintenance of the entire building or of discrete parts, such as roofs, gutters, drainage, internal finishes, external decorations, etc;

- **Building Services Maintenance**, which may include the procuring and monitoring of the inspection, testing, repair and maintenance of all (or some) mechanical and electrical services, including lifts, lighting, heating, air conditioning, electrical systems, alarms, etc;

- **Grounds Maintenance**, which may include the procuring and monitoring of inspection and maintenance of all external elements, including grass, plants, roads, paving, trees and shrubs, car parking, external lighting, fences, gates, etc;

- **Refurbishment**, which involves the repair or replacement of any building element or entire building on a scale above normal, routine maintenance and repair;

- **Alterations, Extensions or Other New Works**, which could range from partition alterations to the provision of whole or part new buildings;

- **Financial Management**, which involves the formulation of bids and the control of financial allocations for appropriate functions;

- **Health and Safety (H&S)**, which includes shared responsibility for health and safety of staff, visitors, contractors and those in and around the property. There will be many areas related to H&S which fall to the PM personally and this is an area where the knowledge of responsibilities and their limits is important;

- **Energy Management**, which includes responsibility for achieving environmental improvements and Departments’ Environmental Strategies under the Greening Government Operations initiative. Most PMs’ responsibilities involve environmental impacts which are the subject of targets or best practices from construction through to waste disposal;
• **Cleaning**, which may involve the procuring and monitoring of internal office cleaning and window cleaning. Areas requiring specialist treatment, such as kitchens, plant rooms and, where applicable, external cladding or window frames must also be addressed;

• **Security**, which could include some or all of the following:
  - provision of security guards;
  - operation of a building pass system;
  - physical security measures (locks, alarms, intruder detection, etc.);
  - IT security (often the responsibility of an IT Manager);
  - emergency procedures in event of fire, bomb threats, etc.;
  - messenger services;

• **Catering Services**, which may include anything from local tea-making facilities to a large canteen or staff restaurant;

• **Waste Disposal Services**, which will depend very much on the amount, and types, of waste produced (e.g., paper, toxic materials, classified material, etc.) and may require the use of contractors as well as the local authority services;

• **Statutory and Other Desirable Health and Safety Inspections**, which may include the procuring and monitoring of consultants and contractors responsible for such inspections;

• **Helpdesk Focal Point**, which involves being the recipient of enquiries, complaints, suggestions, etc. across the range of Premises Management matters and also the vehicle by which premises-related information is passed to staff;

• **General Contract Management**, which may include responsibility for obtaining performance from the range of consultants, contractors and suppliers engaged.

**What should you do?**

As PM, ensure that you are aware of the extent of your responsibilities and those of others. Where uncertain, seek advice or training.
STR 2.0 DEVELOPING A MAINTENANCE STRATEGY

The purpose of developing a maintenance strategy is to:

• plan expenditure and create records of spending and plan efficiency;

• review these records with a view to improving efficiency, both in expenditure and in operating of plant;

• meet statutory and contractual requirements;

• maintain operations and image;

• reduce environmental impacts;

• maintain the value of the asset; and

• minimise whole life costs.

Not operating building maintenance to any fixed strategic plan may appear to have significant attractions; emergency repair work can prove cheaper than planned maintenance, develops the ‘fire fighter’ and creates high visibility (albeit short term) for the PM when problems occur.

However, emergency repairs require rapid application of resources, lack tools and techniques and do not establish any long term credibility for the PM. They may reduce the value of the asset and may well put Departments in breach of their statutory and contractual requirements.

For Departments, issues like the health and safety of public and staff, public accountability, corporate image and environmental responsibilities dictate that the approach to maintenance should be pro-active rather than reactive in the form of strategic and tactical planning.

A departmental mission statement for this area of work might be:

“To maintain service and improve departmental property assets, through time, in the most cost-effective way within resources to meet organisation objectives and statutory requirements.”

Although improvement is not maintenance, the word ‘improve’ in this context means improvements occurring as a result of complying with upgraded statutory requirements.
**STR 2.1**

**TYPES OF MAINTENANCE**

The implementation and operation of a planned maintenance programme will be the right approach for most PMS. The principle of a planned maintenance programme is both simple and comprehensive but does not need to be set in the context of the various types of maintenance that exist.

The British Standard BS3811 is useful in providing some definitions and relationships in the field of maintenance. Its definition of maintenance is:

The combination of all technical and associated administrative actions intended to retain an item in, or restore it to, a state in which it can perform its required function. (Note: The required function may be defined as a stated condition).

The British Standard contains a helpful diagram showing the relationships of the various forms of maintenance:

![Diagram of Maintenance Types]

These maintenance terms are defined as follows:

**Planned Maintenance** is the maintenance organised and carried out with forethought, control and the use of records to a predetermined plan. (Note: Preventative Maintenance is always part of Planned Maintenance; Corrective Maintenance may or may not be).
Preventative Maintenance is the maintenance carried out at predetermined intervals or corresponding to prescribed criteria, intended to reduce the probability of failure, environmental damage or the performance degradation of an item.

Scheduled Maintenance is Preventative Maintenance carried out to a predetermined interval of time, number of operations, mileage, etc.

Condition Based Maintenance is Preventative Maintenance initiated as a result of knowledge of the condition of an item from routine or continuous monitoring.

Corrective Maintenance is carried out after a failure has occurred and is intended to restore an item to a state in which it can perform to its required function.

Emergency Maintenance is the maintenance put in hand immediately to avoid serious consequences.
AN INTEGRATED APPROACH TO MAINTENANCE

The basic principle of planned maintenance is one of smoothing out expenditure over time combined with the philosophy of prevention rather than cure (avoidance of emergency repair costs). Unplanned maintenance produces exactly the opposite effect.

Planned maintenance is not just about good planning, it is also about an integrated approach, one of looking at the programme in a strategic way and ensuring that agreed operational, environmental and organisational goals can be achieved through the implementation of such a programme.

This means that maintenance is as much about understanding management issues as it is the technical ones. Departments should develop their maintenance management capability as an integrated part of estate and property management as a whole. It must be consistent in philosophy, staffing policy, assessment and measurement criteria and balance cost with quality and environmental improvement.

The introduction and continuation of planned maintenance within Departments should be co-ordinated with the appropriate budget provision and financial authority delegations and control. Planned maintenance is no different from any quality management system, ie there is no quick fix, and total commitment is required throughout all levels of the Departments operating it if its implementation is to be successful.

PMs have a vital role to play in obtaining value and performance from this integrated approach to maintenance. However they should be aware that the phrase ‘value for money’ (VFM) is too often interpreted as an exercise in cost cutting without considering in any great depth the elements of value or quality of service. If VFM is to be moved from a concept to a reality in this area of work, the following points must be addressed:

• quality must be defined;
• value must be established; and
• performance must be measured.
STRATEGY CONSIDERATIONS

The following should be considered when devising a Departmental Strategy:

Freehold or Leased Premises

Although, in principle, the tenure of the premises should make no difference to a maintenance programme, a leased property will be governed by the terms of its lease and these must be understood by all involved in its management. Extracting the main clauses relating to decoration and repair and putting them into plain English or tabular form for easy future reference should simplify comprehension. It is vital that Departments know which elements are their responsibility to maintain/repair and which are the landlords'. Departmental Property Advisers will be able to help with this.

Statutory Requirements

The links between maintenance and the Health and Safety at Work, etc Act are obviously critical and must be understood. Buildings can injure, maim and kill people; whether crudely by parts of buildings falling on people or subtly through bacteria, bad maintenance and poor inspection.

A clear strategy for the procurement of work is essential because it will determine how the work is carried out and, therefore, flag up statutory requirements.

It is important that comprehensive maintenance records are generated and retained as a means of confirming statutory compliance.

Budgetary Considerations

Much ground work will need to be done here. As budgets are prepared as prescribed within individual Departments, measures to identify and find major repairs in future years must be taken. FIN 2.0 offers guidance on prioritising such works.

Historically, there has been a realisation towards the end of each financial year, that funds retained for emergency maintenance will not be spent and therefore rapid expenditure projects are implemented which, although desirable, may be neither essential nor economic. Indeed, better use could be made of the monies on other projects such as energy efficiency measures with a longer term payback. Thus monies are expended as rapidly as possible to avoid an underspend and often consequential reduction in future allocations. This is the old 'external painting of buildings in February' syndrome.
However, recent changes in how Departments manage their allocations and the introduction of 3-year financial cycles has allowed more end of year flexibility and PMs should follow Departmental procedures and guidance in this respect.

Balancing Resources

A certain degree of resource balancing will be necessary for any new maintenance system. The strategy should have identified any major changes in this area (e.g., the anticipated levels of contracting out, etc.). But during operation some fine tuning may also need to take place.

Management Information

Regular, systemised reporting should be adopted for any maintenance system and, depending upon the degree of automation in operation, effective forms of presentation should be employed to facilitate ease of understanding.

Feedback to planning

Planned processes should be dynamic and feedback should update them on a continual basis. This rarely happens in practice, however, and is one of the major elements which contributes to senior management concern over plans which fail to keep to profile.

Capital vs Running Costs

The allocation between Capital Expenditure and Revenue Expenditure can cause tremendous problems for Departments particularly with regard to the movement of monies from one to the other. Clear definitions and distinctions between the two are required if realistic life cycle costing is to be achieved.

The Improvement Trap

If funds allocated to repair and maintenance are not adequately controlled, they are very easily diverted to making improvements - not only in the area of property!
Property surveys should not be initiated where Departments already hold comprehensive property records, though Premises Advisers may require additional data such as:

- construction type, eg steel frame, pitched roof; and
- particulars of the designer and contractor.

Careful preparation and planning by PMs is essential before instructing Premises Advisers to undertake the work necessary to produce a maintenance programme. Consideration should be given to incorporating a BREEAM survey into such surveys, thereby enabling environmental improvements to be identified and incorporated into the maintenance programme at minimal or no cost, ie replacement of ozone-depleting coolants in air conditioning systems.

Most important of all preliminary decisions concerns the precise character of the repairs programme to be generated. This, in turn, begs the questions 'who wants the programme?' and 'what do they wish to do with it?' Although a strategic programme may well be required, a specific and operational programme may well prove necessary.

The time span of the programme determines the nature of the exercise, ie:

- a programme for outstanding repairs;
- a programme for the next 5 or 10 years; and/or
- a programme for the next 30, 60 or even 100 years.

Programmes beyond, say, 10 years, tend to overlap with life cycle costing techniques. However, such exercises are feasible and Premises Advisers will be able to advise on programmes suitable for individual Departments.

 Longer term programmes will, inevitably, require updating at defined intervals as this action influences the amount of detail required.

Departments’ property portfolios should be examined to see if they contain a high level of repetition (eg 300 properties of identical construction or of a similar design). If so, sampling techniques might be appropriate to reduce the costs and time in preparing a repairs programme. Good strategic data can often be obtained from very small samples. If funds for preparing a programme are very limited and there is much repetition, more significant results may be obtained from very detailed surveys of small numbers of buildings rather than superficial examination of a large number.
In choosing premises advisers for the task of preparing maintenance/repairs programme, it is vital that those appointed understand the departmental needs and priorities. Preparation of such programmes will most likely require expertise in building surveying, structural engineering, mechanical engineering, electrical engineering, possibly architecture and certainly building economics. Most multi-disciplinary consultancies should be able to offer the necessary skills.

It is important that the complexity of the ‘system’ for generating programmes of maintenance/repair is defined clearly at the outset and a level of accuracy given. The system complexity can vary in two dimensions:

1. The number of ‘features’ into which the property is sub-divided for survey/analysis purposes. As a minimum, perhaps 10 key features such as foundations, walls, windows, doors, frame, roof, ground floors, intermediate floors, power and heating should be considered though there could be hundreds in a complex system.

2. The number of bits of information used to generate maintenance/repair data for any given feature. Arguably three items of information would be a minimum, e.g., element, replacement cost and replacement year. A complex system might have up to eight items of information e.g., maintenance required to element, location, quantity, unit cost, repair cost, priority, normal frequency of replacement and replacement year.

The table below suggests sequential steps which could be taken to set up a planned maintenance system, together with the method options for completing the tasks on the basis of Intelligent Customer capacity and resources.

<table>
<thead>
<tr>
<th>MODEL PLANNED MAINTENANCE SYSTEM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task</td>
</tr>
<tr>
<td>Collect basic data</td>
</tr>
<tr>
<td>Examine basic data</td>
</tr>
<tr>
<td>Consider relevant environmental objectives</td>
</tr>
<tr>
<td>Plan the survey strategy</td>
</tr>
<tr>
<td>Undertake sample surveys</td>
</tr>
<tr>
<td>Test the receive back system</td>
</tr>
<tr>
<td>Analyse the results</td>
</tr>
<tr>
<td>Set priorities and costings</td>
</tr>
</tbody>
</table>

**Key**
- I = In-house
- J = Collaborative joint exercise with premises adviser
- P = Premises adviser
Premises Advisers qualified to assess both mechanical/electrical plans and systems and building construction will have to be used but the depth of survey for both disciplines will require to be defined. This is best decided in consultation with Premises Advisers taking into account the size and nature of the estate.

Premises Advisers should have a well developed methodology for recording the survey and it should enable some or all of the following to be recorded in the case of each of the identified features comprising the whole of the property:

- description of attribute (feature, material, component or fixed plant);
- location of attribute - within building, within structure, within space;
- present condition of attribute;
- quantification of attribute;
- options for improving environmental performance;
- time to next maintenance/repair/replacement/service;
- frequency of maintenance/repair/replacement/service;
- nature of maintenance/repair/replacement/service;
- unit cost of maintenance/repair/replacement/service; and
- priority of maintenance/repair/replacement/service.

A critical part of the survey report is the priority assessment. This is essential to cope with situations where financial resources to meet maintenance requirements are inadequate and there is a large backlog of problems. In this situation, some guidance to Premises Advisers is required on the importance of the work proposed. The following is a typical hierarchy of importance that might be appropriate to an office situation:

- health and safety;
- unfit conditions;
- urgent fabric repairs;
- new/changed statutory requirements;
- prevention of future high cost repairs;
• lack of amenities/facilities;
• existing amenities/facilities obsolete;
• improved environmental performance;
• energy efficiency;
• long term cost effective repair/maintenance;
• routine maintenance; and
• corporate image.

It is never easy to decide priorities, particularly when comparing divergent needs of dissimilar structures. Some sort of weighting may be applied to the above, or any similar list, to assist in assessment.
Putting the properties into good condition should reduce responsive maintenance and allow future work to be carried out on a planned and budgeted basis. As it is likely that full funding to clear the initial backlog may not be available, a hierarchy of repairs will be required with items such as safety and urgent fabric repairs high on the list and, perhaps, routine maintenance and enhanced amenities appearing towards the end.

Maintenance/repair programmes must be cost effective and occupant disturbance should be minimised; going back to the building year after year should be avoided whenever possible.

For extensive repairs, the advantages and disadvantages of temporarily decanting staff into other available premises during the works should be considered.

Building maintenance is an ongoing exercise. Wear, weathering, change of use/user, obsolescence, enhanced criteria and higher standards dictate that any maintenance system needs regular updating. The system, therefore, must receive regular updates on building condition; it is important that a strategy for re-surveys is in place.
**DEVELOPING A MAINTENANCE POLICY**

In formulating their maintenance policy, PMs will want to consider the philosophy in the following extract taken from the foreword to BS 8210:1986 Guide to Building Maintenance Management:

“A building is an asset which needs to be maintained to ensure that its value is not eroded. This is all too often ignored with unfortunate economic consequences including a subsequent greater expenditure on the maintenance of a building and its engineering services. This may be because there is sometimes failure by building owners to appreciate that buildings are an asset and by occupiers to realise that buildings are a resource, and that these assets and resources need to be protected just as any other form of asset or resource does. In such cases there is consequently a lack of recognition regarding the full effects of the failure to maintain buildings and their services adequately, and of the resulting effects on the value and function of assets. This is somewhat surprising as large amounts of money are often spent in protecting the value of other forms of asset and production resources are usually well maintained.

Lack of maintenance may in part arise from the feeling that the buildings are long lived assets which deteriorate only gradually. In fact this is true only of the more robust forms of structure and even these can deteriorate rapidly with the ingress of moisture. Fittings, external decorations and engineering services usually have much shorter lives than building structures. The failure to maintain buildings may affect their functioning in addition to reducing their value.

There is a further important reason why buildings and their engineering services should be maintained. It is to ensure the health and safety of persons in and around buildings coupled with the need to discharge responsibilities that are conferred by building ownership. There are basic statutory requirements that buildings should be kept safe for their occupants and for those who pass or visit buildings. There are other statutory requirements regarding health and safety particularly in respect of cleaning, fire and safety of pressure vessels, boilers, lifts and hoists. In addition there may be further legal requirements regarding maintenance such as conditions in leases, etc.

The maintenance characteristics of buildings are a result of the original design process. In addition, inefficient designs, bad specifications and poor workmanship can result in faults which are subsequently often difficult and usually expensive to diagnose and remedy.

Those responsible for managing the maintenance of buildings and their engineering services need to have both management ability and technical expertise. There is evidence which suggests that in the past large amounts of money have been wasted by inappropriate maintenance and repairs. Where this expertise is not available in the owner’s or user’s organisation it is important that appropriate consultants are employed.”

It is important to ensure that any consultants employed are fully conversant with the objectives of the Greening Government Operations initiative. The DETR/BRE Design Advice scheme operates a list of approved consultants who may provide support to PMs.
DEVELOPING A POLICY STATEMENT

In expressing an overarching policy for maintenance PM’s should consider the following statements:

• The over-riding priority for departments is the health and safety of their personnel, clients and the general public. This, coupled with public accountability, means that its approach to the performance of maintenance and new works will be proactive in the form of strategic total planning.

• Departments shall implement and maintain Planned Maintenance Programmes. Within these programmes, quality will be defined, value established and performance measured.

• In carrying out their maintenance and networks programmes, Departments shall give full consideration to the relevant requirements of their Environmental and Energy Management policies.

• Departments shall apply careful and thoughtful design and maintenance management to their properties to ensure that, in so far as is reasonable and practicable, the built environment is accessible to all disabled users and remains so. To this end, Departments will follow the advice given in ROB which incorporates the requirements of the Disability Discrimination Act 1995.

• Work shall be carried out to agreed Government Specifications. In addition, Departments require maintenance work and new builds to conform to the Crown Fire Standards. This goes beyond the statutory life safety requirements to the preservation of the fabric of the property in case of fire. This added protection complements the Government policy of self-insurance.

• Departments shall, wherever possible, purchase Quality Assured Products.

• All consultants and contractors engaged by Departments are expected to comply with the spirit and terms of this statement in undertaking works of any nature on departmental properties.
STR 3.2

**PRODUCING A DETAILED POLICY**

It is good practice to produce a detailed policy for particular elements of maintenance. This is a particularly effective vehicle for conveying policy to consultants and contractors as part of a tender.

The following model may be used by PMs in developing their Departments’ particular requirements for a formal policy with their Premises Advisers.

**Access where maintenance works are to be carried out**

Access will be provided where necessary to contractors to allow for any preliminary survey and inspection work in order to ensure safe access for the works to be carried out.

Special precautions will be taken to ensure safe access to confined or restricted spaces, such as ducts or voids. Forced ventilation is to be provided prior to entry to the confined space, if needs be, to ensure that harmful build up of gases, vapours or other hazardous substances are dispersed and that sufficient oxygen is present in the air. "HSE Guidance Note GS (5) - Entry into Confined Spaces: 1995" is available for reference.

Arrangements shall be made for rescue procedures for work carried out in confined spaces, prior to this work commencing.

It is imperative that sufficient lighting is provided by Contractors for maintenance work to be carried out satisfactorily.

Appropriate safety signs will be fixed and maintained at all times, in accordance with the Health and Safety (Safety Signs and Signals) Regulations 1996 (HSE Guidance L64 is available), British Standard 5378 (Safety Signs and Colours) and British Standard 5499 (Fire Safety Signs, Notices and Graphic Symbols).

If access is required for maintenance over adjoining property, this is to be arranged and agreed in writing prior to the works being carried out.
Asbestos

The Department will comply with the Control of Asbestos at Work Regulations 1987 and the Control of Asbestos at Works (Amendment) Regulations 1992. The PM or the Premises Adviser will maintain an asbestos register for all departmental properties. The register will list, for each property, the location, use, type, condition and other details of sprayed asbestos insulation, lagging and other asbestos based materials known to be present. It will be updated continually from intelligence gathered by the personnel, Consultants and Contractors.

The PM will ensure that asbestos warning notices are fixed to all locations of known asbestos or asbestos-based materials.

Any material suspected of containing asbestos will be analysed by an independent accredited laboratory, before any work is undertaken.

All work on asbestos will be undertaken by a licensed contractor, in full compliance with the requirements of the Control of Asbestos at Work Regulations 1987, the Control of Asbestos at Work (Amendment) Regulations 1992 and the Asbestos (Licensing) Regulations 1983.

The presence of undisturbed and/or undamaged asbestos containing materials does not usually constitute a health hazard and removing undamaged material may create a greater hazard than leaving it in place. Where sprayed asbestos insulation or asbestos lagging are found to be intact, not friable and in good condition, no further action is required. Where there is a small amount of damage or deterioration, it should be repaired or sealed with an approved material in order to cause the minimum disturbance. If the extent of the damage or deterioration is such that it cannot be repaired or sealed, removal will be carried out and the affected area isolated and appropriate warning notices posted.

The condition of all known asbestos within buildings shall be inspected at least annually, more frequently where buildings or plant are susceptible to movement or physical damage. The result of these inspections will be recorded in the asbestos register.

The Department will not permit the future use of any material containing asbestos, and will comply with the Asbestos (prohibitions) Regulations 1992 and the Asbestos Products (Safety) Regulations 1985.
Building Regulations and Fire Control

The Department will comply with the Building Regulations and the Fire Precautions Act 1971.

In addition, it will adhere to Crown Fire Standards. These Standards are for the protection of the building fabric beyond the requirements of the Building Regulations 1991 and the Fire Precautions Act which ensure the safe exit of occupants in case of fire. The Crown Fire Standards will not be applicable where insurance requirements are otherwise catered for (e.g., by the landlord’s own insurance arrangements)

All Contractors must comply with the Standard Fire Precautions for Contractors Engaged on Crown Works (1995), or subsequent revisions, in the course of carrying out works.

Where appropriate, consideration will be given to the pollution risks from run-off of fire water.

Health and Safety

The Department will comply with the Control of Substances Hazardous to Health Regulations 1994 (as amended).

The PM will:

• assess the risk to health arising from the work and the required precautions;

• introduce appropriate measures to prevent or control the risk;

• ensure that control measures are used and that equipment is properly maintained and correct procedures observed;

• where necessary, monitor the exposure of workers to the risk and carry out an appropriate form of surveillance of their health; and

• inform, instruct and train employees about the risk and precautions to be taken.

All work undertaken by consultants or contractors engaged by the Department will be carried out in accordance with the requirements of the relevant legislation.
Design

The design of the Department’s property will take into account the PACE Guide to Requirements for Office Buildings and the DETR “Towards more sustainable construction - Green guide to Managers on the Government Estate”.

This Guide sets out key requirements which should normally be incorporated. The requirements are grouped under subject headings which in the main follow chronologically the order of construction. The accompanying Schedule takes the form of a checklist to be used in commissioning lead consultants or private developers. It repeats the actual requirements of the Guide and leaves space for the consultant or developer to respond to each one. The response should signify, as the case may be, agreement to provide, not to provide, provide but with variation; or non-applicability.

Most parts of the documents command industry-wide acceptance, are uncontentious and draw matters together rather than break new ground. In two particular areas, however, these features do not necessarily apply and special attention is therefore required,

- **natural ventilation** - The guidance is intended deliberately to stimulate thinking about the type of ventilation most suitable to each particular building, with the emphasis on using natural ventilation where appropriate rather than accepting full air conditioning, with its attendant high operating costs and environmental impact, as the sole choice on offer. No single solution can be applied to all cases. The important point is that in each case a critical assessment needs to be made; and

- **floor loadings** - The guidance expressly recommends, as a starting point, a lower floor loading than that which has been customary in Government for quite some time and was therefore reflected in part, in the industry at large.

Equally, the guidance is at pains to stress that this recommendation is not mandatory and needs to be applied with judgement to individual cases. There will be instances where an increased loading is called for; there may well be others where a lighter one is reasonable. For all schemes, the brief for the building must be clear and the advice of structural engineers must be taken into account. A conscious decision about floor loadings can then be reached in the light of this guidance but without applying a blanket solution.
**Electricity**

The Department will comply with all Acts, Regulations, Standards and Codes of Practice, including the:

- Electricity Act 1989 (as amended);
- Electrical Appliances (Colour Code) (SI 19691310) Regulations;
- Electricity at Work Regulations 1989; and
- Current Edition of IEE Regulations for Electricity Installations.

**Employment of Contractors and Associated Matters**

Works will be carried out by Contractors engaged by the Department in accordance with standard procedures based on the value of the works to be carried out and the form of contract to be adopted.

Selection of suitable and competent contractors will be carried out from their registration on ‘Constructionline’ or their being in the process of registration.

Procedures will be laid down by the PM for reporting defects and initiating any remedial works to be carried out, setting out the approximate value of work and the Contractors authorised to carry it out.

Reference should be made to existing maintenance and building records including maintenance guides, particularly when known hazards exist, and to the Health and Safety file as required under the Construction (Design and Management) Regulations, etc.

Contractors should be informed of any noise restrictions and advised as to the access arrangements to work areas, materials, stores and where necessary positioning of temporary office accommodation.

Contractors will be expected to provide details of the date and time of commencement of work and the duration of works if not stated specifically in their contract.

Emergency telephone numbers will be provided by contractors for the use of the PM in case of emergencies occurring outside normal working hours.

Contractors will be expected to programme work in order that inconvenience to occupants and the operations of the Department is minimised.
Contractors shall provide all operatives with an approved means of identification and this should be carried out at all times when working on the Department’s property.

The Department will comply with the Department of the Environment, Transport and the Regions (DETR) publication entitled “Building Management: Environmental Action Guide” and any others specified by the Department.

The Guide provides practical guidance on environmentally-aware operations across the whole range of office services and property management. It will also have associated with it a series of short guidance notes dealing in greater detail with specific environmental topics such as CFC’s in buildings, the use of timber and recycled paper, domestic waste management and environmental building audit.

The DETR states that the Guide will help to take forward the Government's commitment to effective environmental action. It addresses some of the principal concerns of the 1990 White paper on the Environment, especially the need for strict compliance with environmental standards in building and property management. It also reflects the Government's aim of achieving a high quality of environmental performance in the public procurement of goods and services.

With its accompanying Advisory Notes, it is designed to give ready access to the required level of detail in specific operational areas.

In addition, DETR provide further practical guidance on environment-related issues which the Department will comply with as far as is practicable. (Full details can be found on the DETR website - see EMEE 7.1.)

**Gas**

The Department will comply with all Acts, Regulations, Standards and Codes of Practice, including:

- The Gas Act 1972;
- Gas (Meters) Regulations 1983 SI 1983/684;
- The Gas Safety (Installation and Use) SI 1994/1886 Regulations 1994;
- Gas Cooking Appliances (Safety) SI 1992/711 Regulations 1992; and
**Inspection and Reporting Procedures**

Periodic inspection of the property will be carried out to ensure that the building fabric is maintained in a suitable condition and that environmental factors, such as the quality of air and light, are maintained.

Inspections will be carried out under three general headings:

- Routine;
- General; and
- Detailed

Routine inspections will be carried out on a regular and continual bases and all occupiers of the property will be encouraged to take part in this process.

An annual general inspection of the main elements in the premises will be undertaken by a competent person and in accordance with predetermined reporting procedures.

Detailed building surveys specified by the Department will be undertaken on properties designated by the PM to an agreed programme.

Additional inspections required by legal or statutory obligations will be carried out as necessary.

**Internal Environmental Conditions**

The internal environmental conditions for the working areas within the Department's property shall be as follows:

**Heating**

Within one hour of the commencement of the working day, working areas shall be heated to a minimum temperature of \[ \text{[ ]}^\circ\text{C} \] and a maximum temperature of \[ \text{[ ]}^\circ\text{C} \]. Heating controls should be set to achieve a set point of \[ \text{[ ]}^\circ\text{C} \].
Ventilation

Where mechanical ventilation systems are installed the following air change rates will be used:

<table>
<thead>
<tr>
<th>Location</th>
<th>Air changes/hour</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offices</td>
<td>[ ]</td>
</tr>
<tr>
<td>Toilets</td>
<td>[ ]</td>
</tr>
<tr>
<td>Kitchens</td>
<td>[ ]</td>
</tr>
<tr>
<td>Canteens</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

Air Conditioning

Where air conditioning is fitted into buildings, the heating requirements will be as above but with cooling, a temperature of [ ]°C is desirable together with a relative humidity of [ ]% to [ ]%.

Where comfort cooling is provided, a room temperature of [ ]°C is desirable.

Any alteration to the above criteria will be approved by the PM and notified in writing to those concerned. The PM’s approval will be based on substantiated operating criteria ie computer equipment special requirements, personnel medical reasons, etc.

Temperature settings will be carefully selected to ensure that the heating and air conditioning are not competing.

Energy consumption will be monitored and benchmarked to ensure that consumption is typical or better for the building type.

Legionnaires Disease

The PM will ensure that the appropriate design, commissioning and maintenance procedures are undertaken, to minimise the risk of infection from Legionella Pneumophila.

The Department has adopted Technical Memoranda 13 issued by the Chartered Institution of Building Services Engineers as their minimum requirements. The contractor should also conform to the HSE document (HS(G)70). All new departmental premises must have legionellosis risk assessment using the HS(G)70 questionnaire.
**Lighting**

The following table gives a general lighting level and glare index for areas within the property. The illuminance levels are based on average through life output of light sources and it is assumed that regular cleaning and maintenance of light fittings will be undertaken.

<table>
<thead>
<tr>
<th>Location</th>
<th>Illuminance (Lux)</th>
<th>Limited Glare Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canteens</td>
<td>200</td>
<td>-</td>
</tr>
<tr>
<td>Cloakrooms</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>Computer Rooms</td>
<td>300-500</td>
<td>16</td>
</tr>
<tr>
<td>Conference Rooms</td>
<td>350</td>
<td>16</td>
</tr>
<tr>
<td>Corridors</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>General Office</td>
<td>350-500</td>
<td>16</td>
</tr>
<tr>
<td>Kitchens</td>
<td>225</td>
<td>25</td>
</tr>
<tr>
<td>Lavatories</td>
<td>125</td>
<td>-</td>
</tr>
<tr>
<td>Lifts</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>Staircases</td>
<td>125</td>
<td>-</td>
</tr>
<tr>
<td>Typing Pools</td>
<td>350-500</td>
<td>16</td>
</tr>
<tr>
<td>Typing Pools (VDU’s)</td>
<td>350-500</td>
<td>16</td>
</tr>
<tr>
<td>Plant Rooms</td>
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+ localised lighting

The lighting of the Department’s property is to be designed to achieve optimum performance in the following areas:

a) the lighting ambience should provide for the varied uses of the different spaces within the office, for example, good colour rendering and avoidance of glare in interviewing areas, higher luminance on the display boards;
b) VDU luminaries should be used in open plan areas to avoid glare; and

c) energy saving luminaries and controlling equipment should be incorporated into
the initial design and also into maintenance plans where this can be calculated
to give Value For Money through an adequate payback calculation. This may
also take into account remaining occupancy period as well as technical
considerations.

**Maintenance Records**

Record keeping is an important aspect of maintenance. Maintenance records are
required for the following purposes:

a) verifying maintenance for appropriate accountability;

b) verifying maintenance for statutory obligations;

NOTE: Under the Health and Safety at Work Act, the Department is required to
maintain the property in a safe condition. In the case of an accident or similar
occurrence, the PM may be required, by law, to demonstrate that maintenance
had been carried out to a reasonable standard. Maintenance records may serve
this purpose.

c) monitoring the Maintenance Policy and its effectiveness;

NOTE: Maintenance management entails achieving safe and reliable operation on
the premises at the lowest life cycle cost. Maintenance records provide the
historical information on Planned Preventative Maintenance and any Repairs
Maintenance carried out against breakdowns, etc and enables the PM to make
any necessary changes to the policy.

d) observing performance trends, helping through diagnosis and initiating
corrective action where necessary; and

NOTE: Performance trends eg insulation resistances, boiler efficiencies, etc. usually
provide the first sign of forthcoming troubles. Careful monitoring of these trends
allows breakdowns or requirements for replacements to be predicted so that the
PM can take the necessary action.

e) financial statistical information on past maintenance needs will assist the PM in
forecasting future maintenance costs.
Maintenance records will be kept in manual form in log books. They will contain:

a) a schedule of plant and equipment requiring maintenance (an asset register);

b) instructions which highlight Planned Maintenance tasks and give guidance on the execution and frequencies of these tasks; and

c) the method of recording the outcome of maintenance inspections and tests, other maintenance work (e.g., repairs and replacements) and Contractors' signatures (Job Sheets). Any changes to control set points, subsequent action required and details of work done will also be recorded.

Opening and Operational Hours

Normal opening hours for the Department are [ ] to [ ] hours Monday to Friday excluding Bank Holidays.

Energy control/BMSs will be programmed to take account of weekends and Bank and other Public Holidays.

Any work which will cause disruption and/or limit the operational hours of the premises will be undertaken outside normal operational hours, unless authorised specifically in writing by the PM.

Pressure Vessels

The Department will comply with all Acts, Regulations, Standards and Codes of Practice, including:

- The Pressure Vessels and Transportable Containers Regulations 1992 SI 1989/2169;


Safe Working Practices

Contractors or others directing maintenance work will be expected to satisfy all statutory requirements relating to health and safety.

In particular, care should be taken to ensure that harmful dusts or vapours produced as a result of works are kept to a minimum and appropriate methods are adopted to remove such hazards from the property.
Particular care should be taken to ensure that flammable and toxic hazards are dealt with in accordance with current regulations and recommendations and in accordance with manufacturers’ written instructions.

Temporary electrical installations should be in accordance with BS 4363 CP 1017 and the Institute of Electrical Engineers Regulations for electrical installations prevailing at the time.

In order to minimise the risk of fire resulting from work, appropriate safety precautions shall be taken and in all cases fire extinguishers of an appropriate type are to be provided at the point of work.

Inspections of the area should be carried out after the completion of operations to ensure that no risk of fire is present.

Persons organising the work and contractors carrying out the work shall make themselves aware of the dangers that may develop when access is provided to bring personnel into contact with dangerous parts or equipment which otherwise may be regarded as safe due to their remoteness. Adequate precautions shall be taken to protect all persons from dangers which exist with regard to the hazards identified.

Noise from work shall be kept to a minimum, particularly when the premises are occupied. This requirement applies to noise from plant and equipment. Use of radios, etc. shall not be permitted. Contractors will be expected to select plant and equipment carefully which will result in minimum noise production. Where excessively noisy works are unavoidable, appropriate notice shall be served to the PM and alternative arrangements made. (Where necessary, the PM should liaise with the Departments’ Project Manager for the work as there may be cost implications, etc.)

Works to the basic structure of property including foundations, walls, floors and roofs will take priority over cosmetic items such as surface finishes except where the failure to attend to cosmetic items will result in danger to occupants or the general public.

Works should be planned in order that work carried out in one location does not affect adversely the health and safety of occupants elsewhere.

Care shall be taken by all contractors and consultants to ensure that works carried out do not render the remaining parts of the property in a dangerous condition.
All openings created as a result of works should be protected adequately and warning signs posted to prevent danger to operatives, occupants and the general public where necessary.

The Department will comply with all Acts, Regulations, Standards and Codes of Practice, including:

- Control of Pollution Act 1974;
- Water Act 1945;
- Water Act 1973;
- Water Act 1983;
- Water By-Laws 1986; and
- Environmental Protection Act 1990.
RAISING THE PROFILE WITH SENIOR MANAGEMENT

Maintenance may still be considered by senior managers (especially those in control of funds) as a distress purchase. Accountability and responsibility for their Department’s estates (see DAO 1/96) bring the need for senior managers to understand the importance and need for a sound maintenance strategy.

Understanding and support from all levels of management is essential. Without this, problems can occur, e.g., with estimate bids.

A strategy must be agreed. This is broad recognition of how the final objective is to be achieved. Consideration of all relevant processes will be necessary and some may require changing to allow for successful implementation of the strategy.

The actual measures that need to be set up to show progression and achievement are vital if a clear plan is to be maintained and met. Many individual tactics will be implemented to ensure achievement of overall goals.

Everyone involved must understand the importance of communicating changes on processes effectively. If old ways are reverted to, any programme is likely to fail.
Departments should keep their Maintenance Policies under review in order to ensure that value for money on resources expended is being obtained, in addition to protecting both the asset and the resource value of the property concerned against breaches of statutory and legal obligations. The main issues to be addressed will be:

- the anticipated future requirements for the estate, taking into account the performance of the property and its suitability for carrying out departmental functions. This will include the present use of the property, likely improvements and the effect such improvements have on the condition and/or residual life of existing components or engineering services;
- changes of use for the premises and the effect of any alteration work;
- possible anticipated date of disposal or demolition;
- statutory and other legal conditions affecting maintenance requirements;
- maintenance work cycles;
- the standard of maintenance with regard to Departments’ requirements in connection with the use of the property and any special standards which may be appropriate; and
- changed environmental requirements.
STR 5.1 DEVELOPING A HEALTH AND SAFETY POLICY STATEMENT

Departments are required under Health and Safety (H&S) legislation to develop an overall Health and Safety Policy Statement for their organisation and issue it to all employees.

The Statement should include:

- general statement of intent (signed by the individual Department’s most senior official);
- organisation and responsibilities for H&S; and
- arrangements for implementing H&S policy.

Further guidance on producing a Health and Safety Policy Statement can be found at H&S 2.0.
**DEVELOPING AN ENVIRONMENTAL POLICY STATEMENT**

Departments are required to develop and implement an Environmental Policy under the Greening Government Operations initiative. DETR have issued the “Model Policy Statement for Greening Government Operations” guidance to assist them in this.

The Statement should include:

- Introduction;
- Responsibilities;
- Aims;
- Objectives; and
- Monitoring and Reporting.

This document also contains further guidance and recommendations which are particularly pertinent to PMs.
DEVELOPING A CONTRACT STRATEGY FOR PREMISES MANAGEMENT

General

The contract strategy for discharging the premises management function will be decided upon by Departments in conjunction with their Premises Advisers. This will be one of the most important decisions they will have to make as the agreed strategy will have far reaching consequences for them.

Contract strategy is about choosing the right contract for allocating risks to the party who is best able to deal with them, in a way which is consistent with a Department’s objectives for the commission or project. The contract strategy will therefore depend on the objectives of the commission or project and how Departments wish to manage risks.

With any commission or project, Departments should be seeking to secure the right quality of work at the right time and at a cost which represents best value for money whilst minimising environmental impacts. Quality here represents the standard to which the work is done and the extent to which it meets those objectives other than cost or time.

It should be recognised that:

- a change in one of these main objectives is very likely to have an effect on at least one of the other objectives (for example, a reduction in cost and/or time is likely to adversely affect quality);
- if tight targets are set for all objectives then the likelihood of meeting them all is small; and
- since an improvement in one objective is likely to be at the expense of others it is important for Departments to focus on the most important to them and to establish the right balance by choosing an appropriate contract strategy.
The contract strategy should also reflect the technical ability of the PM and support sources and the extent to which Departments wish to be involved with, or have direct control over, the commission or project. The principal steps required in developing the contract strategy are:

1. Identify need for commission or project
2. Nominate the Premises Manager
3. Appoint Premises Adviser where necessary
4. Define objectives and prioritise them
5. If project management, feasibility design, environmental or cost advice is needed then make temporary appointments
6. Re-evaluate and prioritise
7. Decide and appropriate contract strategy in light of objectives

In the case of a works project, the last step above would involve the appointment of a project manager who would develop the detailed contract strategy by evaluating the options for the contract strategy and the alternative types of contract available, resulting in the recommendation of a particular form of contract.
A detailed contract strategy should include the following issues:

- factors outside the control of the project team (e.g., inflation, legislation, etc);
- departmental resources;
- project characteristics;
- ability to make changes and change control procedures;
- risk management;
- funding;
- cost issues;
- timing;
- quality and performance; and
- environmental impacts and energy efficiency.

Departments will want to review control of the above factors depending upon their relative importance.

It should be remembered that:

- the choice of contract strategy is one of the most important decisions facing Departments;
- it may be advisable to seek advice from a premises adviser or project manager on the choice of strategy;
- in the case of works projects the chosen strategy will dictate which consultants are required to be procured and how, as well as how the works contractors are to be procured.
There are a number of functions which have to be fulfilled for Departments to manage and utilise their premises. These are principally as follows:

- Management;

- Specialist Conservation (historic buildings);

- Estates Services including:
  - lease renewals;
  - rent reviews;
  - valuations;
  - options appraisal;
  - acquisition of new properties; and
  - disposal of properties;

- Maintenance Services, including:
  - mechanical and electrical plant and building services;
  - lift maintenance;
  - grounds maintenance;
  - general building maintenance, doors, windows, redecoration, etc;
  - fire and other emergency alarms;
  - security systems; and
  - computer maintenance;

- Domestic Services, including:
  - security;
  - general office cleaning;
  - window cleaning;
  - catering; and
  - office furniture relocation services;
• Statutory Compliance Services, including:
  - fire consultancy;
  - health and safety consultancy;
  - legal advice.

• Minor Works

• Major alterations and new projects
  - project management;
  - design services including:
    - architects;
    - specialist conservation consultant;
    - environmental consultants
    - structural engineers;
    - M&E engineer;
    - other specialists, such as lighting and interior designers, space planners;
    - landscape designers;
    - specialist contractor design input;
    - cost consultancy services;
    - estate services;
    - legal/procurement advice;
    - works contractors;
    - specialist works contractors;
  - Business Support Services*, including:
    - typing;
    - finance;
    - admin support;
    - messenger services;
    - copying and graphics services
  * not addressed in this Guide.
There are a wide variety of alternative means available to Departments to provide or procure these functions. There are also, therefore, a number of alternative types of organisation structures which represent these alternatives.

When there is an identified need for works or services, Departments must decide how best to secure them to their maximum cost benefit. They must decide whether the services required to satisfy the property management function should be:

- provided in-house;
- obtained externally and managed in-house; or
- obtained and managed externally under the supervision of a commission manager.

The choice will be influenced by:

- the extent and types of services to be provided;
- what represents the best value for money to Departments;
- the size of the individual Department, and whether scale economies can be achieved through central purchasing;
- the level of in-house services available to Departments; and
- the qualifications and experience of a Department's property management staff.

The most common model to describe the way in which Departments organise their property management functions is as follows:
MODEL PROPERTY MANAGEMENT FUNCTION ORGANISATION

It is difficult to try to anticipate all of the possibilities which might be appropriate for all Departments. Typical services and contract strategies have been included at Annex STR 6.1/1 in order to illustrate some of the different possibilities.

Departments with a small and/or scattered estate should explore the possibilities of using other Department's or PACE's existing property and legal contracts.

The most common approach to procuring the property management functions is in line with the organisational structure illustrated above. With this approach, Departments:

- retain strategic management control;
- generally provide business support services in-house;
- procure regional or national property management commissions (PMCs); and
- directly employ domestic service suppliers such as security, office cleaning, window cleaning, etc.
The types of consultant commission which will generally be required to satisfy the property management function are described in more detail in the “Consultants” chapter of GACC.

Advice on low environmental impact and energy efficient buildings may be obtained through DETR/BRE’s Design Advice Consultants scheme.

The various types of Government works contracts are described in more detail in the “Contractors” chapter of GACC.
## Annex Str 6.1/1 - Contract Strategies for Procurement of Property Management Functions

### Contract Strategies to Include Responsibilities for Procuring Property Management Functions

<table>
<thead>
<tr>
<th>Property Management Functions</th>
<th>Provided In-House</th>
<th>Property Management Commission</th>
<th>Facilities Management</th>
<th>Term Commission Estates</th>
<th>Estates Commission</th>
<th>Term Service Contracts</th>
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## Contract Strategies for Procurement of Property Management Functions

**Contract Strategies to Include Responsibilities for Procuring Property Management Functions**

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<th>Provided In-House</th>
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## CONTRACT STRATEGIES FOR PROCUREMENT OF WORKS CONTRACT FUNCTIONS

### CONTRACT STRATEGIES TO INCLUDE RESPONSIBILITY FOR PROCURING WORKS CONTRACT

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### PROPERTY MANAGEMENT FUNCTIONS

**GENERALLY**

- Management function
- Estates Services
  - lease renewals
  - rent reviews
  - valuations
  - options, appraisals
  - acquisition of existing properties
  - disposal of properties

**Maintenance Services**

- mechanical and electrical plant & building services
- lift maintenance
# Contract Strategies for Procurement of Property Management

## Developing a Contract Strategy for Premises Management

### Strategic

#### Contract Strategies for Procurement of Works Contract Functions

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## Contract Strategies for Procurement of Works Contract Functions

**Contract Strategies to Include Responsibility for Procuring Works Contract**

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</table>

### Minor Works

- Building regulations
- Fire consultancy
- Health and safety consultancy
- Legal advice

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Edition 2: September 1999

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### Contract Strategies for Procurement of Works Contract Functions


### Property Management Functions

**Generally**
- Management function
- Estates Services
  - lease renewals
  - rent reviews
  - valuations
  - options, appraisals
  - acquisition of existing properties
  - disposal of properties
### CONTRACT STRATEGIES FOR PROCUREMENT OF WORKS CONTRACT FUNCTIONS

**CONTRACT STRATEGIES TO INCLUDE RESPONSIBILITY FOR PROCURING WORKS CONTRACT**

<table>
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<tr>
<th>Maintenance services</th>
<th>mechanical and electrical plant &amp; building services</th>
<th>lift maintenance</th>
<th>ground maintenance</th>
<th>security system</th>
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**Domestic Services, including:**

- security
- general office cleaning
- window cleaning
- catering
## Contract Strategies for Procurement of Property Management

### Developing a Contract Strategy for Premises Management

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#### Contract Strategies for Procurement of Works Contract Functions

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<th>Contract Strategies to Include Responsibility for Procuring Works Contract</th>
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FACILITIES MANAGEMENT STRATEGIES

Facilities management (FM) is an extension of the property management role, to the extent that its scope often covers all non-core business activities associated with the property and with supporting the business activities associated with the property and with supporting the business unit occupying the facility. FM is the continuous process of tuning all such activities or services to satisfy business needs.

Departments are involved to a greater or lesser degree in FM and a consultant who undertakes a Property Management commission on behalf of a Department is, in effect, undertaking facilities management services.

The reason for including this section, however, is because of the development in recent years of a separate professional FM discipline. There are now numerous organisations who offer FM services on the basis, for example, that they will:

• review business objectives;
• take control of and manage the facility and all non-core functions;
• rationalise non-core functions;
• save the client money whilst maintaining the level of service required to satisfy business objectives; and
• maximise value for money.

Three examples of organisational structures for the appointment of a FM company are as follows:

With the Department Agent arrangement, the Facilities Manager is simply a manager who contracts directly with service providers and retains the cost risk.
The **FM Contracting** arrangement is a hybrid between the Department Agent arrangement and total **FM**. The FM company is appointed for a fee and predetermined work packages are then let separately, but in contract with the FM company. Warranties are commonly executed between work package suppliers and the client where appropriate.

With total **FM**, Departments pay a lump sum to the FM company who takes direct responsibility for all services and, therefore, all of the risk. It is clearly essential with this arrangement for Departments to specify minimum levels of service requirements very clearly.

Before considering the appointment of an FM company, Departments should look carefully at their business objectives and how they are currently being met.
There is a very helpful guide called “Thinking About Facilities Management” which sets out steps for successful FM and choosing the appropriate path. This is available from The Business Round Table Ltd, 18 Devonshire Street, London W1N 1FS (0171 6636 6951).

“Thinking About Facilities Management” sets out a number of areas where Departments should take care, including NOT:

• losing control of services by outsourcing, and retaining the strategic management function in-house;

• expecting services to run themselves (service quality depends on good management); and

• inviting bids from the commercial sector without first rationalising their FM requirements; (Departments’ business operations need to be as lean as possible to reduce the cost of outsourcing).
Works contracts are required for the procurement of construction work, whether alteration, refurbishment or new construction work. Works contracts are generally divided into:

- minor works contracts; and
- major works contracts.

The distinction is usually a cost threshold which is likely to be individual to each Department. Minor works contracts have the following characteristics:

- a typical threshold for minor works contracts is contracts with a value not exceeding £50,000;
- generally, they require less consultant input;
- in the main, they can be carried out by small contractors, with a smaller variety of specialist input; and
- they require simpler forms of contract which are, therefore, easier to administer.

The various types of works contract are more fully described in the Contractors’ Section of GACC.

The form of contract chosen dictates the scheme of risk allocation as well as which consultants need to be procured and when. There will generally be more than one way to procure the works and these alternatives will be more or less successful in achieving the project objectives. For major works projects a project sponsor will be appointed and the choice of procurement strategy will be decided in conjunction with an appointed project manager or procurement adviser.

The suggested procedure for selecting a contracting strategy is briefly summarised as follows:

- a project manager is appointed to develop a fuller contract strategy in parallel with the outline design;
- the project manager formally reports to the project sponsor setting out the recommended strategy;
• the risks associated with the options considered are identified and analysed; and

• the project sponsor considers the report and challenges the recommendation and ultimately agrees on suitable strategy.

The Business Round Table’s “Thinking About Building” procurement guide provides a checklist for identifying the various procurement options available and a systematic procedure for deciding on a particular procurement path.

In addition, the procurement checklist in the guide lists the principal objectives affecting contract choice. Each type of contract can be scored in one of three alternative ways:

• the total number of bullet points which coincide with the objectives;

• each objective is numerically weighted and the weighting is substituted for a bullet where it coincides with the objective;

• each contract is given a relative score in place of the bullet point, and each objective is weighted and the two are multiplied together to give a weighted average score.

A similar approach is illustrated in PPD Guidance Note 36.
PREMISES MANAGEMENT FUNCTIONS IN CROWN OCCUPIED PREMISES
PMCP 1.0  RELATIONSHIP BETWEEN PROPERTY MANAGEMENT AND ESTATE MANAGEMENT

PMCP 2.0  OCCUPATIONAL CONSTRAINTS (TENURE)
  PMCP 2.1  TYPES OF TENURE
  PMCP 2.2  FREEHOLD TENURE
  PMCP 2.3  LEASEHOLD TENURE
  PMCP 2.4  SHARED CROWN OCCUPANCY - HOUSE COMMITTEES

PMCP 3.0  PROPERTY CONSTRAINTS

PMCP 4.0  STATUTORY CONSTRAINTS

PMCP 5.0  DEPARTMENTAL CONSTRAINTS
PMCP 1.0  RELATIONSHIP BETWEEN PROPERTY MANAGEMENT AND ESTATE MANAGEMENT

Property Management is part of any Department’s overall strategy for managing the property it requires to house its staff and carry out its business in an effective and efficient manner. Within this overall strategy, Estate Management and Premises Management perform complimentary functions.

Estate Management is concerned with the acquisition of freehold or leasehold properties, disposal of properties, agreement of leases with landlords, tenants and others, negotiation of lease breaks, rents, dilapidations and other items relevant to the use or occupation of property. It is a specialised field, requiring the expertise of professional Estate Surveyors. Estate Management impinges on Premises Management mainly as indicated under PMCP 3.0. It is important that information held by Estate Surveyors is made available as necessary to Premises Managers (PMs) and vice-versa.

Premises Management is, in its widest context, the means of providing suitable environments and facilities for Departmental staff and others to enable them to function efficiently, safely, economically and in an environmentally friendly manner. The extent to which PMs are responsible for such matters will depend upon a number of factors as indicated under PMCP 2.0 to 5.0 below.

What should you do?

1. Ensure links are established with your Departmental estate management organisation.

2. Ensure that the Environmental Policy objectives are identified and agreed.
OCCUPATIONAL CONSTRAINTS (TENURE)

PMCP 2.0

PMCP 2.1

TYPES OF TENURE

The way in which Departments occupy space within the property (tenure) will have a major effect on their responsibilities and, in turn, those of PMs.

Departments are likely to occupy space as one (or more) of the following:

- freeholder in a single or multiple occupancy;
- leaseholder in a single of multiple occupancy;
- Holder sharing the premises with other Departments; and/or
- minor occupier sharing with other such Departments.

In cases where the relationship is with a landlord or commercial organisation, the legal relationship between the parties will be in the form of a lease or sub-lease. Where the relationship is with another Department, it is usual for the responsibilities of the parties to be laid down by a Memorandum of Terms of Occupation (MOTO). The MOTO is Appendix 1 to the Departmental Estate Occupancy Agreement (DEOA), copies of which are available from PACE.

What should you do?

Establish the types of tenure for the property under your control.
FREEHOLD TENURE

Where Departments occupy freehold property as a sole occupier or as Holder in a Jointly Occupied Building (JOB), PMs are relatively free to carry out works, modifications etc to the property without the consent or approval of a landlord. PMs are, however, obliged to ensure that such works comply with the requirements of:

• Health and Safety (H&S) legislation and standards;
• local Planning Authority and Historic Buildings, etc consultation procedures under DOE Circular 18/84 in England, Welsh Office Circular 37/84 in Wales and Scottish Office Circular 21/84 in Scotland; and DoE (NI) 1/84;
• local bye-laws;
• restrictive covenants;
• Building Regulations/Standards; and
• Departmental Fire Adviser.

The above list is not comprehensive and PMs will need to consult with their Premises Advisers before putting any works in hand.

What should you do?

1. Establish which properties under your control are Crown freehold.
2. Take advice from your Premises Adviser on legislation, etc that may need to be complied with during any works.
3. Consult, as appropriate, the English Heritage publications “The Care of Historic Buildings and Ancient Monuments - Guidelines for Government Departments” or “The Care of Historic Buildings and Ancient Monuments by Government Departments in Scotland” where you are proposing to undertake work on an historic building or ancient monument.
Where Departments are either tenants of commercial landlord or parties to leases or sub-leases with commercial tenants or sub-tenants, the lease agreements will define areas of responsibility between the parties and the procedures for obtaining consent from the ‘landlord’ before carrying out certain works, alterations, etc. It may well stipulate works which may have to be carried out at defined intervals - eg redecoration works. The need to comply with other standards and procedures remains as at PMCP 2.2 above.

It is important that PMs are conversant with the lease requirements of properties under their control and comply with such requirements, as failure to do so may breach the lease agreement and is likely to lead to difficulties with rent reviews, lease breaks, etc.

What should you do?

1. Establish which properties under your control are leasehold tenure.

2. Take advice as necessary from your Premises Advisers and/or Property Advisers and become conversant with the requirements of property leases for properties under your control.
PMCP 2.4  

**SHARED CROWN OCCUPANCY - HOUSE COMMITTEES**

The general arrangements for Departments sharing occupation of properties are contained in the DEOA. The MOTO forms Appendix 1 of the DEOA and sets out the property specific arrangements.

Where Departments share occupancy of a property, irrespective of the tenure, the MOTO usually provides for the Holder to be responsible for common areas of the building. Such areas will normally include lifts, staircases, entrance lobbies, toilets and tea-making facilities (though not always), plant rooms, central plant and services, roofs, car parks, etc.

**PMs will need to be thoroughly conversant with the terms of the DEOA and MOTOs and comply with them as appropriate.**

Aspects of shared occupancy may cause potential disputes or tensions between the occupants. For this reason, it is a requirement of the DEOA to set up House Committees attended by all interested parties and typically addressing areas such as:

1. **Health and Safety, Fire and Security**
   
   It is important to be clear on the division of responsibilities for health and safety, fire and security aspects of the property and for individual PMs to have access to H&S documentation (ie test certificates for lifts, etc) or records as necessary to discharge their responsibilities.

2. **Environmental**
   
   It is common for the Holder (or the landlord) to pay for energy and water consumed and to levy Service Charges for such consumption to occupants on the basis of areas occupied. This may not encourage the efficient use of energy and water and House Committees should consider options such as separate, sub-metering services, etc, as appropriate.

3. **Forward Maintenance Planning**
   
   Leases (or MOTOs) will frequently provide for apportionment of maintenance and repair/improvement costs between occupants as Service Charges. It is good practice for House Committees to consider and agree future works, wherever possible, to avoid disputes or misunderstandings.
Other Matters

There are many matters appropriate for discussion by House Committees, in addition to those outlined above. These will depend on the individual circumstances but are likely to include such topics as strategic planning (future space needs of each party), common areas (any problems arising), complaints from staff (or others), environmental improvements, emergency procedures, etc.

What should you do?

1. Establish whether you are the Holder or Occupier of property occupied jointly with other Crown Bodies.

2. Establish the extent of any other Departments’ responsibilities under the DEOA.

3. Ensure that a House Committee is established and membership is known to all concerned.

4. Declare your Environmental Policy and objectives.

5. Seek support from other occupants, highlighting the mutual benefits of reduced energy/water charges, etc.
PMCP 3.0 PROPERTY CONSTRAINTS

It is unlikely that PMs will have a great deal of influence on many of the following constraints but an awareness of the problems and reference to ROB, etc may prove useful.

The age, type and physical characteristics of the property may affect the way in which PMs can plan and/or use the space. Some properties are designed as open-plan and changes to this layout may cause problems with lighting, heating, air conditioning or natural ventilation, escape routes, etc.

‘Older’ properties (ie those exceeding 30 years old) may be listed as Ancient Monuments or buildings of Historic Interest and the Department for Culture, Media and Sport (DCMS) via English Heritage, Historic Scotland, or Cadw will need to be consulted and works or alterations agreed before they may be carried out. In addition, the appropriate consultation should take place under DOE Circular 18/84, etc, as appropriate.

Modern lightweight structures (typically 1960s) may present problems with poor lighting, draughts, poorly-fixed cladding, poor insulation, solar gain leaking flat roofs, etc.

Air conditioning is often advertised as a beneficial feature in property and it may prove desirable to use this in order to overcome problems of noise or pollution which prevent the use of natural ventilation. However, it is expensive to provide, operate, maintain and replace and is less energy-effective than natural ventilation and can give rise to health problems and other complaints if not correctly designed, installed, maintained and cleaned. Also, the coolant used in air conditioning systems is usually ozone-depleting and very high in global warming potential.

What should you do?

1. Take advice as necessary from your Premises Adviser on problems likely to be encountered due to building constraints. Consider alternative solutions which offer lower operating costs and reduced environmental impacts.

2. Consult, as appropriate, the English Heritage publications “The Care of Historic Buildings and Ancient Monuments - Guidelines for Government Departments” or “The Care of Historic Buildings and Ancient Monuments by Government Departments in Scotland” where you are proposing to undertake work on an historic building or ancient monument.
Many aspects of premises management are governed by legislation and procedures must be set in place for ensuring compliance with such legislation. These procedures may be laid down at Departmental level or left to PMs to set up or adapt at local level. Details of relevant legislation can be found at H&S and PMR and also at Section 1.4 of ROB.

Most statutory requirements involve some or all of the following procedures:

- risk assessments (to define the hazard areas and establish methods of avoiding them);
- regular inspection, maintenance, tests or replacements;
- record keeping (which may include plans, drawings, log books, charts, etc);
- test certificates (usually initial tests followed by tests at prescribed intervals);
- notification to appropriate authorities (eg planning consents, wet cooling towers, etc); and
- inspection by appropriate authority (eg Fire Safety, food hygiene, etc).

Statutory legislation, is listed where appropriate, throughout this Guide. The legislation is concerned mostly with:

- health, safety and welfare in the workplace;
- fire safety;
- construction activities;
- environment management, waste, etc; and
- food and hygiene.
It is stressed that, whilst PMs need to be aware of the legislation which applies to property for which they are responsible, only part of the responsibility for compliance will be under their direct control. PMs need to be clear regarding which aspects of legislation are appropriate to them and which are the responsibility of others (eg consultants, contractors, landlords, etc). Where others have direct responsibility, PMs must ensure that they can check or be satisfied that such responsibilities are being discharged effectively. Often this will involve spot checks (by a third party if appropriate) of completed work or records, keeping copies and records of documents such as Test Certificates and ensuring that other parties have the necessary training, skills, qualifications, etc, as appropriate to ensure compliance.

It should be borne in mind that some statutory procedures require the services (and signatures) of professionals who are members of specified institutions. An example of this is the requirement that the main circuit diagram for an electrical installation and the specifying of the frequency of subsequent inspections should be signed by a member of the Institute of Electrical Engineers. PMs should seek advice from their Premises Advisers regarding the requirements which affect their areas of responsibility.

**What should you do?**

1. Be aware of statutory responsibilities discharged by others or yourself, by referring to the relevant parts of the PMG and taking advice as necessary from your Premises Advisers.

2. Establish whether any Departmental compliance procedures are currently in existence, taking advice as necessary.
DEPARTMENTAL CONSTRAINTS

In most situations, PMs will not be acting in isolation but will be part of a hierarchy of premises management established by Departments. In such cases, PMs may be provided with Departmental policy guidance and rules for procedures, financial control, environmental objectives, use of consultants and Premises Advisers, contracts, etc.

Whilst such Departmental organisation and guidance will assist PMs in the discharge of their duties, they should always strive to ensure compliance with all statutory obligations, etc. Should PMs become aware of any conflicts between statutory obligations and Departmental procedures, advice should be sought to ensure that conflicts are resolved.

What should you do?

1. Ensure that arrangements are in place for your Premises Advisers to provide you with advice and assistance in the management of the premises.

2. Establish whether any Departmental compliance procedures are currently in existence, taking advice as necessary.
OPTIONS FOR ORGANISING PREMISES MANAGEMENT
OPT 1.0  APPROPRIATE DELEGATION

OPT 2.0  PREMISES MANAGERS’ OPTIONS
- OPT 2.1  DEPARTMENTAL POLICY
- OPT 2.2  COMMISSIONS/CONTRACTS - OVERVIEW
- OPT 2.3  SELECTION OF OPTIONS/STRATEGIES
The term ‘delegation’ is usually used by Departments to express the financial, contractual, disciplinary or other powers handed down to staff by higher management. In each case, the delegated powers are those considered to be appropriate to the individual’s grade, discipline, experience, qualifications, etc.

In the case of premises management, where a wide variety of functions have to be discharged, the need for appropriate delegation is paramount, especially bearing in mind the technical expertise requirements. It is, therefore, important that the correct principles are understood and used during the delegation process.

There are many ways in which premises management functions may be handled contractually, ranging from the setting up of a ‘Managing Agent’ with an all-embracing and multi-disciplinary commission to discharge all estate and premises management duties at one extreme, to the retention in-house of all but the physical works at the other extreme. The dangers are not likely to arise from too much delegation to Premises Advisers, etc but more from too little delegation or an ill-defined delegation. Whilst over-delegation may result in a loss of control, under-delegation may result in potentially disastrous consequences if people are called upon to make decisions for which they are untrained or unqualified.

The guiding principle should be that only those competent to do so should specify or order works, materials, etc, approve or certify satisfactory completion of works, witness tests, check or audit works or procedures, etc. The question of who is qualified will depend on an analysis of the tasks involved and the need, or absence of need, for expertise. The following typical examples are intended to demonstrate this principle:

• lay persons who are PMs should be able to invite, let and manage contracts for window cleaning, office cleaning, messenger services, security, catering, etc, but may lack the experience or training to draft the contract conditions or specification;

• lay persons who are PMs should seek advice/help from their Premises Advisers when ordering additional socket outlets to be installed by an electrical contractor; and
• PMs who are members, for example, of the Chartered Institute of Building Services (CIBSE) should be able to order and specify maintenance works on building services to be carried out by a contractor but will require assistance from their Premises Advisers to specify and project manage work required for a roof replacement.

It is hoped that the foregoing sections provide adequate guidance but, wherever any doubt exists in the mind of PMs, they should err on the side of caution and/or seek advice from their Premises Advisers.

What should you do?

Establish the right levels of delegation related to your Department's requirements and Intelligent Customer capacity.
OPT 2.1 DEPARTMENTAL POLICY

In many Departments, premises management policies will be prescribed centrally and may provide for centrally-arranged contracts and/or commissions, covering most or all of the functions involved.

Such contracts and/or commissions may be framework agreements, whereby the Specification of Requirements, Technical Standards, Prices, Scope of Work, etc are laid down centrally and PMs only have to raise individual orders or instructions to proceed, compatible with their delegation limits. These types of contract or commission avoid the need for localised expertise, provide conformity of standards and often achieve economies of scale. The contracts may be for wide-ranging works (eg Facilities Management for Kent) or for more specialist services (eg Lift Maintenance for the UK).

Whilst some centrally-organised contracts and/or procedures may exist, other functions may be left to PMs to organise with varying amounts of guidance from their departmental centres. Clearly, in such cases, PMs must comply with central policy (eg contractors, consultants and suppliers to be Safety Assured to BS5250) whilst deciding how best to organise local functions.

To summarise, the work of PMs will usually be governed, to a greater or lesser extent, by departmental policies and PMs will need to ensure they have up-to-date and complete knowledge of such policies and current environmental objectives.

What should you do?

Be conversant with your departmental policies, procedures and environmental objectives with respect to premises management.
COMMISSIONS/CONTRACTS - OVERVIEW

The administration of commissions and contracts is a specialised activity requiring training and expertise. This section should not be seen as giving specialist training or guidance. If PMs are required to become involved in any of the following functions, they should ensure that they are adequately trained, qualified and experienced (and permitted by departmental rules) to do so:

- selection of tenderers;
- preparation of contract/commission documents;
- specification of requirements, (and/or drawings etc);
- pricing of services;
- invitation of tenders;
- receipt/opening of tenders;
- evaluation of tenders;
- recommendation for acceptance;
- acceptance/decline;
- order to proceed;
- liaison/progress meetings; and
- certification/payment of invoices/agreement of claims.

The foregoing is an abbreviated list of the main functions involved in the contracting process in generally chronological order. None of these functions should be carried out by untrained or unauthorised staff and advice from Premises Advisers should be obtained.

It should be noted that the practice of amending or altering, in any way, the standard conditions of contracts is extremely unwise and invariably leads to problems with the administration of such contracts. In addition, such actions may have legal, financial or other implications for the Departments concerned.
Use of PACE

Departments without the necessary in-house Intelligent Customer capability can call upon the services of PACE, who can provide the Intelligent Customer Service for procuring and managing Property Management Services.

Buying Intelligent Customer support from the private sector under a framework agreement or contract is not an option open to Departments.
OPT 2.3  

**SELECTION OF OPTIONS/STRATEGIES**

PMs will either inherit or be able to choose various combinations of in-house and contracted out services to assist in carrying out their functions, within the constraints of the appropriate delegations and departmental policies.

The variety of possible in-house staff/consultant/contractor relationships is probably infinite but the choice depends on relatively few factors, such as:

- the extent and types of services to be provided;
- the availability of centrally-organised commissions and/or contracts;
- the availability of in-house premises adviser services (at the centre or locally); and
- the expertise/professional discipline of individual PMs.
FINANCIAL CONTROL
DELEGATIONS - FINANCIAL/CONTRACTUAL

It is important for Premises Managers (PMs) to be clear regarding their financial powers and responsibilities and to avoid the common error of confusing financial and contractual delegations.

The two concepts can be defined as follows:

Financial Delegation is the responsibility placed on PMs to control, allocate and spend sums of money up to limits delegated by their HQ (or others), without recourse to higher authority;

Contractual Delegations is the ability to select contractors, invite tenders, let contracts, order works and certify completion up to defined financial limits for each type of job, contract, order, etc without recourse to higher authority.

Thus, an individual PM may manage an annual allocation (Financial Delegation) of £10m but be unable to place single orders over £50k (Contractual Delegation).

Delegations are normally prescribed by Departments’ Principal Finance Officers (PFO) and notified to PMs (or others) in writing. They may be in the form of tables indicating delegation by grade/discipline, etc, or they may be drawn up for each individual. It is essential that PMs know precisely their own delegation.

What should you do?

Be aware of your Departmental limits for financial and contractual delegations.
FIN 2.0

ESTIMATES AND BIDS

PMs will probably be required to make bids for funds annually in a way prescribed by their Departments. These bids will form part of the annual budgeting round within Departments.

To prepare a bid, PMs will need to estimate the sums required for each of a number of activities, which may in turn, require separate bids or be added together to form one bid. Typical activities together with suggested methods of estimating, are described below:

Staff Resources (in-house) - a simple calculation based on salaries grossed up in accordance with Departmental instructions;

Cleaning, Waste Disposal, Security etc - normally based on previous years' spends, updated for inflation or changed requirements;

Planned Maintenance - based on previous years, where available, or on rates per square metre of space derived from Premises Adviser; this needs to be considered together with forward Maintenance Plans to avoid duplication of spend;

Major Repairs, Refurbishments, New Works - it is usual for Premises Advisers to provide Forward Maintenance Plans detailing a programme or works required for current and future years, with priority ratings and estimates. Refurbishments or New Works should be subject to estimates commissioned from Premises Advisers. PMs will normally be required to bid for all works planned for the next financial year and will, usually, have to prioritise them. Departments may wish to consider using the following categories of priority:

- Priority 1: Unavoidable - works which
  - meet statutory obligations;
  - cannot be deferred for health and safety reasons; or
  - would affect seriously Departmental operations and functions if not undertaken.
• **Priority 2: Essential** – works which
  - cannot be deferred without risk of penalties in terms of deterioration of the fabric and/or increased cost;
  - are required to meet landlords’ requirements.

• **Priority 3: Urgent** – works which
  - are highly desirable to undertake to maintain the value and utility of the estate.

• **Desirable** – works which
  - are necessary to maintain proper standards; and/or
  - would produce savings in operational, energy or running costs.

On new works, the priority may be more difficult to assess because the urgency will depend on operational requirements which may be difficult to quantify. **PMs** should consult their **Premises Advisers** when bids are being prepared.

It is common for allocations of funds to fall short of bids and for some works intended for the previous year(s) to remain as ‘Backlog’. **PMs** may be asked to provide figures for Backlog but, in any case, are recommended to identify such works separately. It should be noted that some of the current year’s jobs will not be paid for until the following financial year and this ‘carry-in’ commitment should also be identified. However, it will not usually affect the bid total because it will be compensated for by a similar ‘carry-over’ to the following financial year; and

**Contingencies** – **PMs** may need to allow for urgent and unforeseen works or emergencies arising during the year but it is more usual for such demands on funds to replace planned projects or to be the subject of supplementary bids for funding within existing Departmental budgets.
When PMs receive their annual allocation of funds, they should decide how the money is to be divided or sub-allocated between the various functions. This may follow the pattern used in formulating the bid or may need revision in the light of changed, reduced or increased values of allocations. The process is one of continuing revision and refinement in the light of more up-to-date information.

‘Sub-allocation’ means deciding how much should be spent on each activity or by each consultant, Premises Adviser, contractor, etc and recording this information. The sub-allocations may be changed at any time in the light of circumstances – i.e. overspend or underspend in each activity.

Sub-delegation authorises members of staff (or Premises Advisers, if Departments’ rules allow this) to spend up to a specified limit, without referring to PMs. Clearly, sub-delegation needs careful consideration and control and the person to whom the sub-delegation is made must carry out the procedures discussed under FIN 4.0 in respect of these funds. Care must also be taken not to confuse financial sub-delegation with any contractual delegation.

It should be borne in mind that sub-delegations can lead to underspends (by reducing commitment so as to avoid overspending) and thus PMs lose the financial flexibility to be able to respond rapidly to changing needs.
FIN 4.0

MONITORING/CONTROLLING EXPENDITURE

There are many ways of carrying out the monitoring/controlling functions and Departments may well have systems in place with which PMs are required to comply. Departments should be also aware of the need to comply with the advice given in DAO (GEN) 17/96 on Fraud and Irregularity and should ensure that they are operating to effective and adequate systems of control. However, the following is a brief outline of the traditional method of monitoring spending on property maintenance type activities. While all of the operations may be carried out manually, use of a suitable database or spreadsheet is common. Samples of such spreadsheets are attached as Annexes 4.0/1 and 4.0/2.

The aim of this particular exercise is to produce graphs on a monthly basis for each sub-allocation and the total allocation in order to provide an easy-to-use indication of the financial situation. Such graphs give a much more obvious view of developing trends than mere tables or figures.

Considerable care and discussion should be involved in deciding how the money is sub-allocated before the start of the year, because changing this during the year may prove impossible. The need for monitoring and controlling each sub-allocation will dictate how many groups need to be kept but, typically, this sub-allocation may be by:

- vote/subhead;
- member of staff;
- commission;
- contract;
- property; and
- activity (e.g., Planned Maintenance, New Works, Catering, etc.), etc.

For each of the sub-allocations, the data needs to be recorded under the categories below and the running total for each item reviewed regularly, usually monthly. Expenditure may be monitored using a spreadsheet such as referred to in the opening paragraph above. It will be found that a most useful visual record is produced if the data from the spreadsheet is plotted on a graph with ‘£’ as the Y-axis and ‘MONTHS’ as the X-axis. An example of such a graph can be found at Annex 4.0/3. Not only does this provide an easy indication of the way the money is being committed and spent, it also provides a useful profile of the spending pattern for future reference.
Effective control is enhanced by, in addition to costs, monitoring the actual consumption of resources against time, ie energy, water, paper, etc. Real trends in consumption and the effects of management action to reduce use are readily apparent and unmasked by price variations, changes in suppliers, etc.

**Allocation**

This will be a horizontal line on the graph at £x across the whole year, unless the allocation for this function changes during the year.

**Forecast**

This is the latest estimate of the amount which will be spent by the end of the year. It will probably start at the same value as the allocation by may change but circumstances affect the ability to spend or restrict spend. Where Premises Advisers are asked to provide their Forecasts monthly, there is often a tendency for this to be the least reliable figure.

**Commitment**

The term commitment is often misunderstood. It should mean the amount of money which has been actually committed to contractors or consultants by the placing of orders, etc and which is therefore irretrievable (unless variation orders are issued, cancelling works, etc).

NOTE: It is common for authority to commit money on programmes of Planned Maintenance or on Projects to be given to premises advisers, etc by means of financial approvals signed by PMs or others. While it is desirable to record the amounts so approved and to plot them on the graphs, they should not be confused with ‘hard’ commitments which are contractually binding. (See “Approved Expenditure” below).

**Carry In**

It should be noted that significant commitment will usually appear at the start of the year due to ‘carry-in’ – ie works ordered during the previous year but not yet paid, or retentions payable on expiry of the post-works maintenance period.

It should also be noted that the commitment line will usually cross the allocation line at (say) November and continue upwards, the difference between the two lines representing the next year’s carry-in. Unless a reasonable carry-in is planned for, it is unlikely that funds can be spent fully.
Approved Expenditure

This is the level of monies approved for Premises Advisers, etc to allocate as described in the NOTE at “Commitment” above.

Spend

This line shows the total of accounts passed to Accounts for payment (ie authorised). Ideally, the line should start on 1 April at zero and meet the allocation line (original or revised) on 31 March the following year.

It is recommended that the graphs are reviewed monthly by PMs, together with Premises Adviser as applicable, so that any deviations from the desired spending pattern can be addressed. It is possible, of course, for the graphs to be produced by the agents, but in this case, there will be a ‘lag’ between actual and indicated spends, etc.

Retention of previous years’ graphs is often useful to illustrate patterns of spend which may assist the planning process – eg, spend on Courts is likely to be incurred in large amounts following the Courts Recesses when the buildings and plant are available for annual maintenance.

Selective Checking

Departments are responsible for instituting a system of checking transactions for propriety. A complete check of every transaction could involve administration costs greater than any likely savings and Departments should, therefore, consider being selective in the degree of checking undertaken.

All transactions selected should, of course, be scrutinised for validity and completeness, but a more intensive examination should be carried out to enable management to monitor and adjust the integrity of existing checking procedures as necessary. Such detailed checking may be limited to a percentage check and, while there is no hard and fast rule about the level of percentage checking, a small, say 5%, random check should suffice for most purposes. The levels of checking should be adjusted as necessary, for example, when dealing with large amounts of money.

Departments are responsible for checking transactions and cannot transfer this responsibility to internal or external auditors. They should ensure, therefore, that adequate guidance exists to enable correct checking to be carried out.

Further guidance may be obtained from HM Treasury.
What should you do?

1. Be aware of the extent of monitoring expected to be undertaken.
2. Establish procedures to undertake the monitoring required.
3. Ensure procedures are in place for selective checking of transactions.
### ANNEX FIN 4.0/1 - START OF YEAR FO RECAST SPREAD SHEET


<table>
<thead>
<tr>
<th>Shipshape House, Smart-town</th>
<th>123</th>
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</table>

**This is the total FORECAST cost for the year.**

*The spreadsheet calculates this total automatically.

**This is the total of your BUDGET for this site for this year.**

*You enter the figures in the rows above and the spreadsheet calculates the total automatically.

**This is your OVER / UNDER SPEND for this site for this year.**

*The spreadsheet calculates this from the other two figures in the columns to the left.
### ANNEX FIN 4.0/2 - MID-YEAR SITUATION SPREADSHEET

#### Premises Costs 1998/99: Profiling & forecasting; MID YEAR SITUATION

<table>
<thead>
<tr>
<th>Legend</th>
<th>123 shaded figures are ACTUAL costs</th>
<th>123 unshaded figures are ESTIMATED costs</th>
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</thead>
<tbody>
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<td>May</td>
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<td>Total</td>
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<td>2,831</td>
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</tbody>
</table>

#### Notes:
- **Up to here the figures are ACTUAL spends (shaded).**
  - Each month move this shading over to the right as you put in actual figures.
- **From here on, here the figures are ESTIMATED spends (unshaded).**
  - These are the figures you put in at the start of the year, and replace with "reality" as it emerges.
- **This is the total FORECAST cost for the year, made up from the actual figures to date, and the estimates for the remaining months.**
  - The spreadsheet calculates this total automatically.
- **This is your OVER / UNDER SPEND for this site for this year.**
  - The spreadsheet calculates this from the other two figures in the columns to the left.
- **This is the total of your BUDGET for this site for this year.**
  - You enter the figures in the rows above and the spreadsheet calculates the total automatically.
1. **START**
   Planned spend shown as dotted line, with quarterly "pulses", and one larger bill due in August for a project.

2. In these two months, actual spending (black) comes in about the same as planned (grey).

3. Higher than expected spend in April due to late bills arriving from last year.

4. But, no big August project bill arrives, so in September, actual cumulative spend (black line) looks like an underspend compared with the plan (dotted line).

5. But in November, the late bill for the August project finally arrives, and puts spend back onto track.

6. It's February and it's looking like an underspend this year (black line is below dotted line).

7. But luckily, March sees a lot of bills coming in at the last minute, so you finish on budget.

**END**
FIN 5.0  PAYMENT OF INVOICES

The Government has currently set Departments the target of paying all satisfactory invoices within 30 days of the date of the individual invoice. Departments may have additional in-house targets which improve on this central one, however, and PMs should ensure that they are aware of any such targets applied to themselves or others.

In addition to these targets, Departments should also be aware of the impact of the Late Payments of Commercial Debts (Interest) Act 1998 which came into force on 1 November 1998. Under this Act, businesses are able to charge interest on all late payments at a rate of 8% over the Bank of England base rate. Initially, the Act will only apply to small businesses dealing with larger business (including Government Departments), but will be phased in to cover businesses of any size over the next four years. Further guidance on this Act can be found in CAU Information Note 30/98.

When Premises Managers are dealing with construction contracts (including those for maintenance) they will also need to take account of Part II of the Housing Grants, Construction and Regeneration Act 1996. Sections 109 to 113 of this Act have the objective of achieving fair payment terms in construction contracts which include those for carrying out construction operations and related agreements for professional services. The Act’s payment provisions:

• entitle the contractor to receive stage payments, payment by instalments or other periodic payments where the contract duration is 45 days or more;

• require all construction contracts to provide a payment mechanism and a final date for payment; and

• require the employer to issue a notice to the contractor not later than five days after a payment becomes due specifying the amount paid, or proposed to be paid, and the basis on which the amount was calculated.

The Act also:

• requires the employer to give a notice to the contractor a ‘prescribed period’ before the final date for payment if it is his intention to withhold part or the whole of any payment. The parties to the contract are free to agree the length of the ‘prescribed period’;
enables the contractor to suspend his obligations under the contract (after giving notice) if the employer fails to pay any sum due in full and gives no notice of his intention to withhold payment within the required period; and

makes ineffective conditions which make payment conditional on the payer receiving payment from a third person, unless the third person is insolvent.

Further guidance on this can be found in CAU Information Note 24A/98.

What should you do?

Ensure that all authorised invoices are paid within 30 days of receipt - the stipulated target time - or less, if Departmental guidance dictates. This action should also avoid any breaches of the two Acts of Parliament mentioned above.
CONTRACTUAL CONTROL
Since Departments will normally have formal procedures for contractual delegations and powers, only a very brief outline of the most common practices is given in this section. In order to avoid malpractice or fraud, it is usual for responsibilities and authorities (ie delegations) to be divided between staff at different levels or in different offices. Departments should also be aware of the Treasury requirements as set out in DAO (GEN) 17/96.

It is also usual for contractual delegations to be prescribed carefully. These are the financial levels at which individuals are permitted to carry out functions to specific types of work, contracts, etc. Further information on financial delegations can be found in the Financial Control section. The contractual delegations enable staff to:

- approve a project, service or programme;
- propose firms to tender;
- invite tenders (in competition, single tenders, etc);
- approve acceptance/accept/place orders;
- approve variations;
- verify work is complete;
- certify invoices as payable; and
- authorise payment.

It is important that ‘Separation of Powers’ is maintained, that is limiting the power of individuals and ensuring checks on propriety, etc. It is also important that the rules are understood clearly by all concerned.

Departments should also be aware of, and follow, the advice given in DAO (GEN) 17/96 on fraud and corruption in the awarding and management of contracts and commissions.
What should you do?

1. Ensure that suitable delegation levels are in place.

2. Ensure compliance with your Department's control procedures.

3. Ensure that your Department is complying with the latest Treasury advice on fraud and corruption.
As a rule, Treasury guidelines do not allow pre-payment to be made to consultants, contractors or suppliers. Payment for services undertaken or goods purchased should normally only be made on satisfactory completion of the service or delivery of the goods. The Premises Adviser, etc will need to verify invoices as appropriate and the works or services satisfactorily completed, but in-house staff will need to certify invoices as payable. Other in-house staff will need to authorise and record payments. Clearly this process must ensure that as a minimum:

- the works were approved and ordered correctly;
- the works have been correctly verified as complete and goods/supplies received and checked;
- that payment for the works has not been made;
- the invoiced amounts are correct arithmetically;
- the invoiced amounts comply with amounts approved; and
- the invoices have been certified correctly.

**What should you do?**

Ensure that your Department's payment procedures are understood and operated by all concerned.
CONTRACTUAL AND FINANCIAL RECORDS

It is very important (and will be essential for audit purposes) that contract or job files are maintained by PMs or Premises Advisers, as appropriate, giving full and chronological histories of the contractual events during the life of each contract. A typical contract file should contain copies of:

- estimates;
- contract documents, specifications, tenders, etc;
- drawings, etc;
- minutes of progress meetings; and
- correspondence (technical), etc.

It is also recommended that separate file records be maintained recording the technical aspects of the contract and this file should contain copies of:

- requests for funding;
- approvals;
- orders/variation orders;
- invoices; and
- correspondence (financial), etc.

The separation of the Contractual and Technical aspects and histories is useful, not only for auditing, but because, during the life of the contract, different people will require access to each file: eg PM - the Contract file, Accounts/Finance Division - the Finance file.

What should you do?

Ensure that the required contractual/financial records are maintained properly.
AUDITS AND CHECKS

Whilst all of a Department's activities are subject to National Audit Office (NAO) scrutiny, PMs should normally install an in-house system of random checking of invoices paid. Such checks may be carried out by existing in-house staff or by Premises Advisers who have no conflict of interest and should cover a sample 5%, or more, if there are particular concerns, of all activities. The checks should cover the following aspects as a minimum:

• the work has been specified correctly, and that the necessary and appropriate works have been ordered;
• appropriate forms of contracts, etc have been used;
• delegations and powers have been complied with;
• standards of work executed have been satisfactory;
• works have been completed as ordered;
• the completed service is satisfactory to end users; and
• the contract demonstrates value for money.

What should you do?

Ensure that the necessary audit systems are in place and that audits are undertaken at the requisite intervals.
**CONSTRUCTIONLINE (FORMERLY KNOWN AS THE NEW QUALIFICATION SYSTEM)**

Constructionline is a computerised database of information on consultants and contractors wishing to undertake a wide variety of construction and property related services. The system operates as a public/private partnership between DETR and Capita Business Services. Departments, Agencies and Public Bodies with on-line access to the system may make use of the services without charge. Day to day maintenance is carried out by Capita, with DETR retaining the strategic policy responsibility. Constructionline replaces the NQS, which in turn superseded both CONREG and CMIS and was developed originally to protect taxpayers' interests by ensuring that Government only contracts with reputable, technically competent and financially sound companies in order to save time, resources and possible duplication of effort in the vetting of firms to be invited to tender.

The purpose of the System is to validate, prior to tender, the financial standing, managerial capability, technical competence and resource capacity of 'bona fide' firms wishing to undertake a wide variety of construction and property related services. It includes details of a firm's staffing, the categories of work a contractor can undertake (or specialisms in the case of a consultant), current and completed work recorded as 'feedback' by the users, and an assessment of the maximum individual contract value a firm may accommodate ('the notation'). It enables users to take decisions on procurement selection, in the knowledge that specified predefined standards have been met. It offers a powerful tool designed to protect the user against fraud, company failure and poor workmanship.

Development of the system, in line with Sir Michael Latham's recommendations in his report "Constructing the Team", has enabled it to be used by the wider public sector.

Constructionline's client liaison and the Helpdesk are based in Edinburgh. The contact point can be reached on 0131 229 9449.

**What should you do?**

1. Ensure that you use Constructionline and/or latest Treasury guidance with respect to the financial vetting of consultants and contractors.

2. Ensure that consultants and contractors are monitored effectively during tasks carried out on your behalf.

3. Ensure that Constructionline receive reports on firms invited and how the successful firm performed.
THE SCHEME

The Construction Industry Tax Scheme was introduced in 1971 to counter widespread Income Tax evasion in the construction industry by the lump. The ‘lump’ is the term used to define those in the construction industry who purport to be bona fide sub-contractors so as to gain gross payment and thereby avoid paying their Income Tax and National Insurance contributions. The Scheme was revised in 1999.

THE REQUIREMENT ON GOVERNMENT DEPARTMENTS

From 1 August 1999, Government Departments were deemed as ‘Contractors’ and became subject to the same sanctions for non-compliance with the regulations as existing construction contractors.

Inland Revenue requires ‘Contractors’ to make a deduction on account of tax from all the labour elements of payments to construction sub-contractors unless an exemption certificate is produced. As a general guide, the term ‘construction’ covers almost all works to a permanent or temporary building or structure and includes site preparation, alteration, dismantling, demolition, construction, repair, painting and decoration work. Departments with a total annual expenditure exceeding £1 million will be affected by the regulations.

The ‘Contractor’ is also required to make a monthly return to the Inland Revenue of payments to sub-contractors under each contract. These returns also record the certificate number. At the end of each tax year there is a requirement to make a consolidated annual return covering each sub-contractor individually. Payments cannot be made gross to an unregistered sub-contractor in respect of construction work. In these cases, not only tax but National Insurance deductions must also be made. These deductions must be remitted to Inland Revenue.

CONTRACTORS’ REGISTRATION

A primary requirement before placing any contract is to find out whether contractors hold current registration cards (CIS4) or tax certificates (CIS5 or CIS6). The member of staff responsible for commissioning work must ask to see contractors’ certificates or registration documents and then record their numbers and expiry dates on the relevant contract files. If there is any doubt
on the validity of the documentation presented, the sub-contractor concerned should be regarded as being a non-certificate holder and the case papers referred to the Inland Revenue for evaluation/adjudication.

Any sub-contractor holding a Registration Card is only entitled to payment net (that is with the ‘contractor’ deducting an element for tax and National Insurance contributions). The ‘contractor’ is responsible for passing these deductions direct to Inland Revenue, at the same time giving the sub-contractors a copy of the Tax Payment Voucher (CIS25) each month for their records. Sub-contractors who are holders of Tax Certificates (CIS5 and CIS6) are entitled to receive their payments gross. In these cases, a Gross Payment Voucher (CIS24) must be completed for each payment made. These are then passed to the sub-contractor to add their taxpayer's reference number. The sub-contractor then returns one part to the manager of the contract whilst the other copy is sent direct to Inland Revenue. It is essential originals of vouchers are retained on the contract file as an annual return has to be made to the Inland Revenue.

SCOPE OF THE SCHEME

Identifying precisely what work is covered by the Scheme is complex. Inland Revenue leaflet IR14/15 (1998) - Appendix A - gives detailed guidance. For ease of reference, the following guidelines have been agreed with the Inland Revenue:

- if only part of the contract work falls within the Scheme, the whole value of the contract should be counted for tax purposes, subject to the £1000 threshold below; and

- small contracts for construction operations, amounting to less than £1000 (excluding the cost of materials), may be excluded from the Scheme so long as they are not a product of disaggregation and have been duly authorised as ‘excluded’ by Inland Revenue.

The excluded categories of work are:

- routine servicing and maintenance of heating, lighting, air conditioning, lifts, equipment or other related plant; and

- routine external cleaning of buildings (other than painting and decorating). This will include annual contracts to clean drains, gutters, changing luminaries and grounds maintenance.
Included categories of work are:

- installation of M&E equipment, including lifts, pumps, boilers, ventilation fans, electrical switchgear;

- all new building or alterations. This will include demolition of partitions' walls, alterations to counters, installation or re-hanging of doors, upgrading accommodation standards to meet fire precaution requirements, installation of general plumbing and general electrical works, major roofing works; and

- all painting and decorating, including both initial decoration and re-decoration and wall papering.

When a job includes both excluded and included categories of work it is regarded as a mixed contract and all work within it should be included under the Construction Industry Tax Scheme. If there is doubt about a particular construction activity, it should be included in the tax return. The subcontractor can subsequently gain a rebate from the Inland Revenue if they agree the item is exempt.

**COMPLETION OF FORMS**

PMs will usually be responsible for completion and return monthly of the forms for the majority of expenditure covered under the scheme. They will need to ascertain whether their Finance Branches have taken or will be taking the steps necessary to identify what returns will have to be submitted to the Inland Revenue and that appropriate systems will be in place by the implementation date. In addition, all Departments must advise Inland Revenue when their total annual expenditure on construction is in excess of £1 million.

The Inland Revenue deadlines for the completion and return of forms are very strict. All completed forms should be sent to departmental Finance Branches in sufficient time for collation into departmental returns to enable them to meet the monthly and annual timetables set by Inland Revenue. Nil returns are required monthly from those offices who have retained a Part 3: local maintenance/works budget as defined in the Scheme. For ease of reference, all elements of the tax information will be retained on the same central computer database.

Further advice and guidance can be obtained from Inland Revenue, Public Department 2 MU 4, Ty-Glas, Llanishen, CF4 5YA. CAU Information Notes 3/99 and 7/99 give general advice on the Scheme.
What should you do?

Check with your Finance Branch whether they have informed Inland Revenue if your Department’s total expenditure on construction activities exceeds £1 million and that they have the necessary forms, systems and procedures in place to meet the requirements of the Construction Industry Tax Scheme.
ENVIRONMENTAL MANAGEMENT AND ENERGY EFFICIENCY
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EMEE 1.0  INTRODUCTION

The Government has declared that sustainable development should be at the heart of every Government Department’s work. In integrating the environment into a Department’s policies and operations, PMs have a key role to play in the achievement of two main aims of sustainable development:

- effective protection of the environment; and
- prudent use of natural resources.

Given the major impacts associated with buildings and transport (resource and energy use, waste, biodiversity), the effective environmental management of the estate, its buildings and communications will make an important contribution to a Department’s sustainable development objectives and overall efficiency.

Formerly, environmental management and energy efficiency were usually seen as independent issues. However, they are now seen as increasingly inseparable and the link between energy use and the impact on the environment has now become recognised internationally, with governments introducing increasingly tougher measures to reduce the effects of global warming and the resulting climate change. The simple equation is that eliminating or reducing the consumption of a resource such as energy reduces pollution and saves money. Moreover, environmental considerations are now seen to be an integral part of premises management.

A large proportion of the known damage to the global environment is caused by carbon dioxide (CO₂) emissions due mainly to the burning of fossil fuels, either directly by transport, in buildings or in power stations supplying electricity. It follows that energy efficiency forms a major part of any environmental strategy and has the additional benefit of achieving financial savings.

**Renewable Energy**

PMs should consider initiating a programme of obtaining a target percentage of their Departments’ electricity from renewable sources and/or combined heat and power systems in accordance with their Department’s energy targets.
EMEE 1.1

DEPARTMENTAL POLICY AND RELATIONSHIP WITH ENERGY EFFICIENCY

STR 5.1 gives guidance on developing an Environmental Policy Statement. As a guide to all Departments, DETR have issued “Model Policy Statement for Greening Government Operations”. This document identifies the principles and objectives that could be expected to deliver effective environmental improvement throughout Departments. This and the “Model Improvement Programme for Greening Operations” are excellent source documents in the absence of specific guidance. The latter document identifies recommended actions for each key aspect of a PM’s responsibilities and suggests a performance indicator. For instance, on energy consumption, the UK Government is committed to a 20% reduction in energy use by Departments by the year 2000. All Departments should already have in place energy targets which are consistent with these central targets and appropriate policies to achieve them. PMs must be familiar with their departmental policies on energy conservation and comply with them, for example, if they state that all lighting replacements should be of a certain type, only more energy efficient or less polluting goods should be purchased, etc.

It is important that Premises Advisers (if applicable) and maintenance contractors who look after buildings and plant, etc should have included in their contracts obligations to ensure that plant and systems operate as efficiently as possible and also propose improvements to plant or to building management should their need become apparent during the course of the contracts.

This process is furthered by identifying and benchmarking the energy consumption for the particular building type and requiring the Contractor to reduce consumption to ‘typical’ or better within one year. Thereafter, an ongoing requirement to average a further 4% pa reduction in energy consumption should be specified, depending on departmental targets.

Reductions might be achieved through Contractors installing Building Management Systems (BMSs), Building Energy Management Systems (BEMSs), Environmental Management Systems (EMSs) or other measures in premises where none exist currently and by seeking their views on existing systems. Further advice and guidance on these systems can be found at EMEE 1.2 and EMEE 3.2.
What should you do?

1. Ensure that you are familiar with the Department’s policy on energy and environmental issues and its targets, measures and best practice for reducing consumption to meet central Government objectives.

2. Ensure observance of the policies and targets by staff, Premises Advisers and contractors working in your premises.

3. Check the DETR website for guidance and advice. Further advice is also available on the Public Sector Helpdesk (PuSH) who can be contacted on: 0171 296 6598.

4. Ensure contracts include requirements to conserve energy and improve efficiency where possible by achieving specified performance levels.
EMEE 1.2

ENVIRONMENTAL MANAGEMENT SYSTEMS

Environmental Management Systems (EMSs) enable Departments to address positively the environmental impacts of their operations. However, such systems do not establish the aims, objectives and targets for improving environmental performance: these are the responsibility of individual organisations and the environmental policies adopted by their senior management - the EMS is the means by which such improvements are implemented.

The Benefits

All parts of an organisation have an impact on the environment to a lesser or greater degree. An effective EMS will link these parts through a network of management actions, operational procedures and documentation, with the aim of enhancing environmental performance. EMSs can help Departments to:

• reduce their impact on the environment;
• ensure compliance with environmental legislation and regulations;
• reduce costs by making the bottom line the Department's top priority;
• improve the effectiveness of existing management systems;
• reduce the use of energy and other resources, while minimising waste;
• reduce unforeseen environmental risks;
• improve environmental and overall performance;
• involve staff and others, raise their awareness and help them develop new skills; and
• provide a culture of continuous improvement.

Senior Management Commitment

Successful adoption of any management system requires three essential elements:

• a genuine commitment by Departments' senior management to the system along with the setting of clear objectives and targets that are measurable;
• establishing a culture of two-way reporting to both internal and external stakeholders; and
• developing effective training and education programmes.
Key Stages

An effective EMS has five key stages. These are:

- **getting commitment**: committing a Department to legislative and regulatory compliance, to a culture of continual improvement, to the prevention of pollution and to appropriate objectives and targets.

- **developing and planning**: covering a review of environmental impacts, business needs, legal and other requirements, training and developing a programme for achieving them;

- **implementation and operation**: of a documented management system covering the management structure, training, communications, operational control and emergency preparedness to manage the significant aspects within Departments;

- **checking and corrective actions**: auditing, monitoring and taking corrective action; and

- **management review**: for ensuring that the system continues to be suitable, adequate and effective through changes made in the light of experience.

**ISO 14001**

ISO 14001 is an international standard which specifies the requirements for an environmental management system. These requirements must be met if third-party certification is to be achieved, but its application is entirely voluntary.

The standard encourages cultural change by establishing disciplines which ensure that policy and objectives are met and a continual improvement in environmental performance is achieved.

The Government has agreed that all Departments should have begun introducing an EMS by the end of the current Parliament with a view to extending them across their estates. The Government is also sympathetic to another recommendation of the Parliamentary Audit Committee that 75% of Departments should have at least one site certified to ISO 14001 by 2001. It also agreed to approach future work with that objective in mind while recognising the need for flexibility, which is not offered by a strictly site-based approach; some Departments may prefer to look at operational areas rather than sites.
DETR's Working Environment Division has found that the additional effort to maintain an ISO 14001 certified EMS is little more than that needed to implement measures for greening operations anyway. It is only where existing management systems or controls are poor that effort and, consequently, costs are significantly higher. It then follows that the rewards from sorting out such ineffective systems should be greater proportionally.

New procedures towards achieving ISO 14001 certification can be built into existing management structures and will avoid unnecessary bureaucracy and much additional work. It is also important to encourage ownership of the procedures by the staff who are operating them: they should treat the system as a tool to improve overall management rather than just for the purpose of gaining ISO 14001 accreditation.

**Eco-Management and Audit Scheme (EMAS)**

This is an EU Regulation which Member States are obliged to adopt. Its application is also voluntary, with no legal requirement for any public or private sector organisation to participate in the scheme. EMAS is currently only available for organisations in manufacturing, power generating, mining, quarrying and waste management and recycling sectors. LA-EMAS also exists for local authorities. Organisations certified under ISO 14001 are able to use that standard to meet most of the EMS requirements for registration to EMAS.

EMAS is currently under review and is expected to be extended to include all sectors and sizes of organisations.

As a first step to establishing an EMS, PMs may undertake an audit of their premises using the DETR “DIY Environmental Performance Checklist for Use by PMs”.

**DETR Guidance**

DETR have produced a Guide - “Implementing Environmental Management Systems in Government - guidance for environmental managers and other key people” which will assist Departments in setting up their own EMS and, should they wish to take it further, help them gain certification under ISO 14001. The Guide is available on DETR's website for greening government: http://www.environment.detr.gov.uk/greening/gghome.htm.

Several Departments are now operating EMSs and examples of some of their registers, manuals and procedures can also be found on the DETR website.
EMEE 1.3 LEGAL COMPLIANCE - ENVIRONMENTAL PROTECTION ACT 1990

The Environmental Protection Act 1990 (EPA) established a system of integrated pollution control and set out the regulatory framework and consent arrangements affecting discharges to air, water and for solid waste disposal.

Part II of the EPA is concerned with the regulation of prescribed industrial processes and is unlikely to affect PMs to any great extent unless their areas of responsibility include an incinerator or industrial process. However, Part II also governs the storage, transportation and disposal of waste. A duty of care is imposed on anyone who imports, produces, carries or disposes of controlled waste. The practical impact of the legislation is that PMs must only dispose of controlled waste via a registered waste carrier to a licensed disposal site and they must document the disposal of the waste via a system of consignment notes. (Types of waste are defined in the Control of Pollution Act 1974.)

Duty of Care

The Duty of Care on the disposal of waste places a duty on everyone who produces, carries, keeps, treats or disposes of controlled waste and on those who arrange for the management of waste to:

• ensure there is no unauthorised or harmful deposit, treatment or disposal of the waste;

• prevent the escape of the waste from their control or that of any other person;

• ensure that the waste is transferred only to an authorised person; and

• ensure that an accurate written description of the waste is also transferred.

In practice, there are five operations necessary to comply with the legislation:

• the waste must be correctly identified and described;

• it must be kept safely;

• it must be transferred to the right person;

• any waste received must be checked; and

• the full route of disposal must be checked.
If necessary, expert advice must be sought.

PMS should also be aware that Part III of the EPA requires local authorities to inspect their districts for the occurrence of statutory nuisances. Hence, should problems occur with unsafe buildings, noise, fumes, smoke or dust etc action may be required under the general provisions of HSWA 1974 or, alternatively, by this particular statute.

What should you do?

1. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer on compliance with the Environmental Protection Act 1990. In particular, you should ensure that adequate and appropriate arrangements are in place for the disposal of clinical waste (eg used First Aid materials and feminine hygiene waste).

2. Obtain a copy of the Department of the Environment, Transport and the Regions’ “Register of Environmental Regulatory Requirements for Government Departments (England)” which provides guidance on legislation applicable to the most common support activities under air, waste, water, land and other.
EM EE 2.0  ENVIRONMENTAL PURCHASING

The Role of PMs

PMs have an important role in ensuring that their departmental policies are complied with in respect of energy conservation and environmental considerations and for ensuring that, wherever practical, their Premises Advisers and contractors employed act similarly. They will also have responsibility to ensure that they and other Departmental staff comply with any housekeeping measures introduced. This will extend to green purchasing and green office environment considerations. Treasury and DETR have issued a note - “Environmental Issues in Purchasing” (March 1999) - which gives comprehensive guidance on the strategy to be adopted.

Departmental environmental policies will often cover the specification, purchase and use of materials and products. Such policies should take account of the advantages of products which are energy and water efficient, non or less polluting, durable, reusable, recyclable, made from recycled materials and have minimal or returnable packaging.

PMs should promote ‘whole life costing’ in place of the ‘low bid’ approach as the cheapest option may, in fact, cost more in the long run. Life time costing takes into account running costs, maintenance costs, indirect costs, (e.g. extra burden on air conditioning of less energy efficient IT equipment), administrative costs (e.g. health and safety requirements for more hazardous substances), disposal costs and likely changes in legislation. Purchasing decisions should, therefore, be based on value for money, taking these factors into account, except where the purchase is necessary to conform to Government or Departmental policy to buy or not to buy a particular product on environmental grounds. In some instances, a ‘green premium’ may be payable, but Departments should, nevertheless, not lose sight of the need to strike a balance between the cost to the taxpayer and any perceived environmental benefits.

DETR’s “Green Guide for Buyers” provides advice on choosing environmentally-preferable office machinery, stationery, furniture, etc. DETR have also produced a “Guide to Environmentally-preferable IT Equipment”. Both these publications can be found on the DETR website.
What should you do?

1. Ensure that office machinery, stationery, etc is purchased in line with DETR’s recommendations - check website.

2. Take advice from your Premises Adviser on emissions from office machinery.

3. Comply with EC regulatory requirements and the UK Government’s policy on public procurement with its requirement to obtain best value for money and its commitment to the Construction Task Force’s report “Rethinking Construction” with its targets for sustained improvement;

Notes:

1. Best value for money is defined as ‘the optimum combination of whole life cost and quality to meet the customer’s requirement’.

2. The reference to ‘quality to meet the customer’s requirement’ enables Departments to specify what they need to meet their own operational and policy objectives while complying with the Government’s commitment to put the environment at the heart of decision making.

3. Taking account of whole life costs means that departments must look beyond the initial price to determine if it is cost effective to invest in a more expensive product at the outset to reduce costs in the long run.

The important elements for buyers (with examples) are:

- direct running costs, eg energy, water and other resources used over the life time of the product or service;

- indirect costs, eg loading on cooling plant from buying energy inefficient equipment such as power hungry IT equipment;

- administration costs, eg COSHH overheads from buying hazardous products which require additional controls and special handling and disposal;

- spending to save, eg investing in higher levels of insulation to save energy and thus money in the future;

- recyclability, eg creating markets for our own waste by buying recycled products;

- cost of disposal, eg paying a premium at the outset to reduce waste, ie by choosing a product which is more durable, re-usable, recyclable, includes disposal costs or is free of hazardous materials requiring its disposal in a special way.

The BRE Environmental Assessment Method (BREEAM) was launched in July 1990, initially for new offices, and has since been widely applied. It was developed with sponsorship from major developers to set criteria for good environmental performance in buildings, which would be recognised in the marketplace through an independently issued certificate. The method evaluates a range of environmental issues in relation to the design, maintenance, operation and management of properties and is aimed also at encouraging best practice in these areas, together with raising the awareness of owners, occupiers, designers and operators of the adverse impact of their buildings on the environment, both locally and in a global sense.

Since its inception, versions have been produced for existing office buildings; the latest version, BREEAM 98 For Offices, was launched in September 1998. BREEAM is updated regularly to take advantage of new research, to reflect changing priorities in regulations and in the marketplace and, generally, to keep it up to date to ensure that it continues to represent current best practice.

BREEAM assessments can be used to highlight areas where adverse environmental effects can be reduced or eliminated. They can be carried out on either existing or proposed new buildings, including refurbishments. For existing premises, the assessment looks at the management of the building as well as the types of plant and services, etc in use and awards credits for good energy and water conservation, environmentally sensitive resource use, environmentally friendly (or benign) operation and good management practices. A report is produced describing the current performance of the building, including good aspects of the property as well as those which could be improved. For new builds or refurbishments, the assessments will report on the projected performance of the building. This can enable design changes to be made which will improve the environmental performance.

Although BREEAM is scientifically and technically rigorous in its coverage, it provides a concise and meaningful measure of overall performance for building and operational policies. It helps PMs in managing a wide portfolio of buildings, new or existing, by bringing to their attention areas of concern and areas of good performance. Furthermore, it provides a widely understood and respected benchmark allowing comparison with similar buildings, adds value to the property, reassures staff about the quality of their working environment and assists with public relations, both within Government and externally.
Schemes currently exist for new and existing office buildings, new industrial/warehouse type buildings, homes and supermarkets.

**BREEAM** assessments are carried out by assessors licensed by BRE Ltd.

At the meeting of Green Ministers held on 28 October 1996, it was agreed that **BREEAM** would be used in the design of all new Government buildings and major refurbishments. Departments are, therefore, recommended to undertake **BREEAM** assessments in line with this policy decision.

Best practice is to aim for a **BREEAM** assessment of ‘excellent’.

Further details are available from:

**BREEAM** Centre  
BRE Ltd  
Garston  
Watford WD2 7JR

Tel: 01923 664462  
Fax: 01923 664103  
Email: breeam@bre.co.uk

**What should you do?**

1. Be aware of your departmental policy on **BREEAM** assessments.

2. Undertake **BREEAM** Assessments (unless already assessed) for all your premises.

3. Take actions recommended by the **BREEAM** Report (subject to funding, delegation, etc).
Following an energy audit of their premises, Departments may wish to consider installing Building Management Systems (BMSs) or Building Energy Management Systems (BEMSs) in their premises to assist them in obtaining optimum performance from each of their premises through the centralisation and automation of control and monitoring of the building services.

A basic BMS can provide:

- more effective utilisation of energy and manpower resources whilst maintaining appropriate environmental standards, through energy management and maintenance management applications;
- operational monitoring data to facilitate decisions made by PMs or their Premises Advisers; and
- alarm functions, including life safety and property protection.

A BMS would usually consist of strategically placed sensors throughout the premises, a programmable computer, together with a display and/or print-out facility and actuators, which permit the physical adjustment of services, e.g. electric motors for dampers or valves. Either remote monitoring or manual control can be specified. However, Departments need to take into account the need to ensure that the system can be operated by existing staff resources.

A properly specified and installed BMS, when used correctly, can assist greatly in the efficient operation of services, can point to further improvements in building performance and can provide the data necessary on which to make improvement assessments. The detailed monitoring provided by an efficient BMS or BEMS would usually concentrate on:

- energy: electricity, gas and other fuel consumption, as well as heat monitoring (i.e. flow rates and flow and return temperatures) at strategic points on the distribution networks;
- outside environmental conditions: air temperature, relative humidity, wind speed and direction, solar radiation and general level of lighting;
- plant: status of plant, run times and numbers of cycles, efficiency (e.g. by analysing flue gas emissions or by measuring fuel use or heat output); and
- internal environment: temperatures, relative humidity and lighting levels.
The decision to implement a BMS or BEMS must, of course, demonstrate savings: these should be at least sufficient to meet the cost of the investment in the first place. Given the wide range of building types and varying complexities of BMSs or BEMSs available, it is not possible in this Guide to quantify costs or likely payback periods.

Departments, when evaluating possible investment in a BMS, should concentrate on the cost/performance with which the system carries out the required functions and the manufacturer’s technical design should take second place to this. Nevertheless, the principles of the technology should still be taken into account when looking at cost differences or when tender lists are being drawn up. PMs should seek advice from their Premises Advisers on specifying BMSs for their premises.

With the likely level of investment in a BMS or BEMS and the possible corresponding long payback period, consideration should be given to the full cost in use of any system proposed and questions such as who can maintain and service the installation, the compatibility with other installed equipment and available training, need to be addressed and resolved as part of the overall evaluation and selection process. Simpler systems may prove more cost-effective and a range of options should be considered.

Departments should also be aware that these systems do not always produce reasonable payback periods in terms of the original investment and may have cost penalties connected with them. From research carried out within the industry, it has become a common occurrence that savings generated from the successful operation of a BMS are used to subsidise other options. Departments are recommended instead, to give preference to expanding their BMSs or BEMSs to include functions which were difficult to assess at the services design stage.

Departments will need to know how to interpret information received from a BMS. The key criterion is to identify the actions initiated by receipt of this information; this, in turn, defines the importance of the information itself, the required frequency of message generation, the accuracy required and the need for permanent records, eg from a printer. This latter also needs careful consideration and only essential detail should be recorded to avoid excessive print-outs and wasted resources in trying to identify what is relevant. Proper specification of the BMS should address such issues as well as the various degrees of access which will be required by Departments in order to effect changes and download information from their systems. The use of a system of hierarchical passwords is often specified on BMSs and BEMSs as part of the access control procedures.

**Further Information**

Additional information and advice on BMSs can be obtained from DETR, BRE Limited, or CIBSE.
WATER

Water is essential for human, animal and plant life, and for food production, energy production and many industrial processes. Water is also used for many purposes in offices. PMs are required to reduce water consumption in areas under their control in keeping with best practice. The efficient user of water resources reduces waste and pollution and saves money with savings of 20% being typically achieved at little or no extra cost. For further advice, see DETR “Conserving Water - Advice for Government Departments”. 
EM EE 4.0  ENERGY EFFICIENCY

EM EE 4.1  ENERGY AUDITS AND SURVEYS

Achieving energy efficiency is a task which requires cooperation between PMs, those responsible for maintenance of the building, plant and services and the staff who use the property.

It is not possible to make sensible decisions on energy conservation without knowing where energy is used, how much is used, by whom, when, etc. Unless such an exercise has been carried out recently, the starting point is an Energy Audit and Survey, carried out by appropriate Premises Advisers.

An Energy Audit is a technical investigation, using instruments, metering etc to define the amount of energy of each type eg gas or electricity being consumed and to show where it is being consumed and when. This information is essential as a first step.

An Energy Survey follows the Audit and this is an in-depth investigation of the way the plant, services, etc use the energy and how much is wasted by inefficiency, poor control, patterns of use, etc.

The Audit and Survey should be followed by a Report which should illustrate the current position clearly, discuss and propose improvements and rate them in order of priority. The priority order may be largest savings first or may be in order of Payback Period (the time it will take to recoup the capital costs of improvements from reductions in fuel costs).

The Report is likely, in addition to costed proposals, to suggest simple nil-cost actions which can achieve significant energy savings, eg adjusting timings on control systems, or changing the pattern of use of a Conference Room. It might also recommend changes of fuel (to cheaper fuels) or changes of tariff (to save money). Whilst such suggestions are useful and should be invited, they are not necessarily, energy savings.

Following the Report, PMs should discuss its finding with others responsible for Energy Policy within their Departments, carry out improvements, change procedures, and also agree with their Premises Advisers those items to be actioned during the current year and those to be added to the programme of works for future years.
Useful guidance for commissioning contracts and surveys is available from DETR’s Sustainable Development Unit, BRE Limited or the Chartered Institute of Building Services Engineers (CIBSE), contractible at 222 Balham High Road, London SW 12 9BS, Tel: 0181 675 5211, including suitable specifications and briefs which could be used by PMs for this purpose.

Departments may also wish to consider using BRE Limited’s Office Toolkit which provides PMs with an effective guide to reducing costs and environmental impact.

**What should you do?**

1. Contact CAU for advice on use of appropriate Premises Adviser.
2. Arrange energy audit/survey, if recent report not available.
3. Discuss the findings of the energy audit/survey with your Premises Adviser and others, to agree future policy and to set targets for improvement.
One method which Departments may wish to consider in their efforts to improve energy efficiency and help them to achieve departmental energy and environmental targets is through the use of Contract Energy Management (CEM) or ‘Contracting for Energy Services’ as it is sometimes known. This method involves the contracting out of energy related, and possibly other, activities to a specialist company. These activities can range from combining the operation and maintenance of plant to providing the entire energy needs of a site, including the finance, design, installation and running of the energy systems.

The modern approach to contracting for energy services is to maximise the benefit by integrating as many of the activities as are viable under an energy services contract. In addition, an energy services provider can inject the innovative technical solutions and capital investments which are required to increase the cost savings and reduce energy consumption. To get the best from this approach, requirements should be reviewed at the broadest level, in other words, examining where and why energy is needed, rather than the means by which those needs are satisfied.

Looking at the need for energy, rather than the means of delivery, leads to the use of open specifications. This allows tenderers to develop innovative bids which can achieve greater savings. Taking the broadest view allows specialist companies to offer an integrated package of services, at the core of which is a mutually beneficial partnership.

As a minimum, contracting for energy services can comprise simply the operation and maintenance (O&M) of any plant, although this is rarely the most beneficial arrangement. If service providers are only given responsibility for O&M, they will not normally consider how changes in plant, or its operation, could improve performance. They may not assess if there are better ways of meeting current and future energy requirements, nor will they fund and implement appropriate changes. Similarly, an O&M contractor would not be able to set a suitable fuel purchase strategy linked to an overall energy provision plan. However, by giving a specialist company a wider responsibility, an organisation can gain from strategic planning, funding and greater transfer of risk.

This service type approach must be tied to clearly specified performance levels, including maximum energy consumption levels (i.e., max 150 Kwh/m2 pa) and to required ongoing efficiency improvements (as an example, an average 4% reduction in consumption pa has been met) that will ensure that Government energy reduction targets are achieved.
There is no standard contract and it is important that any particular arrangement is carefully tailored to site requirements and circumstances. It is also vital to ensure that any energy services contract properly interfaces with other contracts such as for Facilities Management.

**What should you do?**

1. Obtain copies of DETR's guidance documents “Energy Services for the Public Sector - A Working Guide” and “Energy Services for the Public Sector - An Executive Summary”.

2. Consider, with your Departmental Energy Manager, the appropriateness of CEM to your Department's property portfolio and contact strategy.

3. If CEM is appropriate, ensure that sufficient management resources are allocated.

4. Ensure that all issues, including landlord's consent, length of existing contracts, etc, are fully considered.
EMEE 4.3  SOME COMMON SOURCES OF ENERGY WASTE

This section does not purport to give comprehensive advice on energy management: Premises Advisers, etc should be employed for this purpose. However, the following list of some of the more commonly encountered areas of waste in office property may be helpful:

- poorly set up contracts for maintenance/operation;
- lack of metering to charge users or check excessive consumption;
- inadequate controls (eg several rooms or areas controlled by a single thermostat or light switch);
- use of sophisticated control systems eg Building Management Systems or optimum on/off controls without adequately trained staff to operate correctly. This can lead to controls being overridden to remain ON and so waste even more energy;
- lack of correct commissioning/testing/balancing/setting up of systems when new;
- poor insulation/glazing/draught-proofing;
- use of air conditioning when outside conditions would allow use of fresh air or opening windows;
- failure to switch off lights when leaving rooms and/or lack of suitable lighting control system (this is a major element for most);
- out-of-date, inefficient light fittings, etc;
- lack of discipline regarding waste (eg opening windows to cool office whilst heating is in use);
- incorrect use of blinds (ie failure to use until too late to reduce solar heat gain - blinds should be lowered when leaving and not in the morning);
- dripping taps (especially hot water);
- use of domestic hot water systems where there are a few remote hot water outlets, instead of local point-of-use heaters;
- cleaners leaving lights on at night (contracts should encourage switching off eg by spot checks, by night time metering and charging contractors, etc); and
- careless siting of control thermostats in empty rooms, etc (ie heating remains on due to low room temperature in room selected) and lack of checks by PM (or others). However, incorrect siting of control thermostat in occupied rooms can also have an adverse effect on heating.
What should you do?

1. Check whether any departmental fuel policy exists (or might be suggested), whereby economies of scale might be achieved by bulk ordering.

2. Check that electricity, gas, water, etc, tariffs are the most economical for the property (specialist advice is likely to be required).

3. Maintain a vigilant approach to energy efficiency in the workplace by continuously monitoring the energy consumption and performance of the building.

4. Ensure close control of fuel deliveries, eg oil, gas.

5. Check and record meter readings regularly and scrutinise accounts.

6. Ensure that time and temperature controls are adjusted appropriately, especially during changes of patterns of use of the building.

7. Provide advice to staff regarding switching off lights, closing windows, etc.

8. Check regularly for obvious wastage by users.

9. Where appropriate, raise Energy Conservation as a standard item on the agenda for House Committees.

10. Provide sub-meters to check fuel consumption by sub-tenants or contractors (eg catering) to enable service changes to be based on consumption rather than area of occupation.

11. Avoid separate metering (by electricity suppliers, etc) to sub-tenants, or others, where this would result in disadvantageous tariffs (eg separate standing charges and more expensive rates).

12. Ensure that contracts for resources such as catering and others where commercial firms occupy space and use energy include for recouping the cost of energy used by the contractor, based on sub-meter readings.

13. Ensure that maintenance contracts for plant and services include regular efficiency tests and reports and for maintaining plant at say 95% or better, of original design efficiency (or commissioned efficiency, if less) but large deficiencies below design efficiency should be the subject of investigation.

14. Suggest revisions to office layout if there is clearly waste of energy which could be avoided, eg, re-site conference or interview rooms to quiet side of the property to avoid need for air conditioning.
15. Advise staff on best practice and improvements and actively seek their cooperation in reducing waste.

16. Take advice from your Premises Adviser on the use of low energy lamps.

17. Take advice from your Premises Adviser on the use of low energy IT hardware and software.

18. Recycle paper, card, cartridges, etc.
In the office environment, there are practices and policies which can contribute positively to Departments’ overall environmental targets.

Environmentally sound practices include, for example, the control of the use of photocopiers or decreasing a premises’ lighting requirements by ensuring lighting is not left on unnecessarily during the day or left on overnight (by cleaners, for example) and using energy saving equipment such as lamps and IT systems and software. By-products of the day-to-day operations of the office, such as paper, laser cartridges, cardboard, etc should be recycled.

In purchasing products such as office machinery, stationery, furniture, etc, environmentally preferable products should be selected in accordance with Treasury’s latest guidance on green procurement. PMs should be aware of the various labelling schemes in use and their meanings, eg the European Union’s eco-label, the Voluntary Energy Information Scheme and the European Union’s mandatory energy labelling scheme.

As Departments move towards more formal Energy Management Systems (EMS), valuable and rapid improvements can be highlighted by using the BRE/PA Office Toolkit, a simple environmental auditing package that provides a user-friendly route to rapid and visible improvement and cost saving. The toolkit is obtainable from CRC Ltd 33-39 Bowling Green Lane, London EC1R 0DA, Fax: 0171 278 0095.

What should you do?

1. Take advice from your Premises Adviser on pollutants emanating from office activities.

2. Consider paperless systems where there is an already installed IT system.

3. Control the use of photocopiers.

4. Ensure unnecessary lights are switched off.

5. Take advice from your Premises Adviser on the environmental implications of office activities.

6. Take advice from DETR’s Sustainable Development Unit and consider with your Premises Adviser.
EM EE 6.0  WASTE DISPOSAL

All waste has the potential to affect the environment adversely by contaminating the air, soil or water. Poorly managed waste can also pose a danger to human health.

Detailed guidance and advice on waste disposal can be found at PMR 4.0. This chapter also addresses recycling, including spent fluorescent tubes and special wastes.

What should you do?

Become conversant with your Departmental policy on waste disposal.
EM EE 7.0  **FURTHER ADVICE AND PUBLICATIONS**

EM EE 7.1  **DETR PUBLICATIONS**

DETR has produced several publications which give advice and guidance on energy and environmental issues. These publications are readily available on the DETR website at: “http://www.environment.detr.gov.uk/greening/gghome.htm”. This site will offer the most up to date information and guidance. Advice and guidance is also available through the Public Sector Help Desk - PuSH (tel: 0171 296 6598).

The publications of most relevance to PMs are listed below:

**Greening Policy and Programmes**

- Green Ministers Press notices:
  - Green Ministers set out Whitehall Agenda - 31 July 1997
  - Green Ministers get down to business - 30 July 1997

**Greening Government Operations**

- General
  - Digest of green housekeeping in Government departments
  - DIY Environmental Performance Checklist - for use by Premises Managers
  - UK report on green housekeeping - summary
  - DETR/DOE’s green housekeeping policy statement - summary
  - DETR/DOE’s green housekeeping policy statement - full
  - Summary of progress on green housekeeping - 1996
  - DETR’s Model Improvement Programme for Greening Operations
  - Towards more sustainable construction: Green guide for managers on the Government Estate
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<td>Green Procurement</td>
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<td>DETR’s Green Guide for Suppliers</td>
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<td>Guide to environmentally preferable IT equipment</td>
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<td>Conference on green procurement in Government - July 1997</td>
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<td>Panels for raising staff awareness</td>
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<td>Requirement to use recycled paper</td>
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<td>Energy Efficiency</td>
<td>Best practice Guides</td>
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<td>Energy efficiency products - market transformation</td>
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<td>Conservation</td>
<td>Conserving Water - advice for Government departments</td>
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<td>Conserving water - case history on waterless urinals</td>
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<td>Waste management at DETR/DOE HQ buildings</td>
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<td>Waste Guide - advice for Government departments</td>
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<td>Initiative to recycle fluorescent tubes on the Government estate</td>
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<td>Transport</td>
<td>DETR’s guide to green transport plans</td>
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<td>Environmental Management Systems</td>
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<td>Brief introduction to ISO 14001</td>
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<td>Report of review into EMSs in UK Government departments</td>
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<td>Description of Greencode - environmental management tool</td>
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Communications Green Screen Saver
   Cartoon fillers
   Journal articles
   Going for Green’s “Green Code”
   In brief - newsletter on energy and environmental related issues
EMAS Introduction to EMAS
Council Regulation (EEC) No 1836/93
NACE codes for activities that are eligible for EMAS
EMAS registered sites (List of sites in the UK - June 1997)
Industry Register
Local Authority Register
EMAS publications.
The DETR Environmental Action Guide is recommended as basic reading for PMs who have any responsibilities affecting procurement, use or disposal of fuels, furniture, equipment, plant, waste, etc. It provides a checklist of those policies and actions which Government has agreed should be adopted by PMs in order to ensure that Crown property is as environmentally friendly as possible.

The Guide (ISBN 0-11-752311-9) is obtainable from:

TSO
Publications Centre
PO Box 276
London SW8 5DT

Tel: 0171 873 9090.

Other advisory notes in the series are:

1. A guide to published advice on Green Building and Estate Management (ISBN 0-11-752798-X);
2. CFCs & Halons (ISBN 0-11-752542-1);
3. Premises management: environmental aspects (ISBN 0-11-752847-1);
4. Water use in accommodation and estate work (ISBN 0-11-752850-1);
5. Grounds maintenance (ISBN 0-11-7528871-4); and

DETR are responsible for the production of much sound advice and guidance on green issues. PMs should be aware of their existence. Copies can be downloaded from the DETR website.

What should you do?

1. Read the DETR Environmental Action Guide and comply with recommended policies.
2. Consider, with others within your department, the suitability of a BREEAM assessment.
HEALTH AND SAFETY
H&S 1.0  INTRODUCTION

H&S 2.0  DEVELOPING A HEALTH AND SAFETY POLICY STATEMENT
  ANNEX H&S 2.0/1  MODEL H&S POLICY STATEMENT

H&S 3.0  CROWN IMMUNITY

H&S 4.0  PROPERTY-RELATED LEGISLATION
  H&S 4.1  THE HEALTH AND SAFETY AT WORK, ETC ACT 1974 AND ITS APPLICATION IN DEPARTMENTS
  H&S 4.2  THE WORKPLACE (HEALTH, SAFETY AND WELFARE) REGULATIONS 1992
  H&S 4.3  OCCUPIERS LIABILITY ACTS 1957 AND 1984
  H&S 4.4  MANAGEMENT OF HEALTH AND SAFETY AT WORK REGULATIONS 1992, INCLUDING 'GENERAL RISK ASSESSMENT'
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  H&S 4.6  THE HEALTH AND SAFETY (DISPLAY SCREEN EQUIPMENT) REGULATIONS 1992
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  H&S 4.10  CONTROL OF SUBSTANCES HAZARDOUS TO HEALTH REGULATIONS 1994
H&S 4.11 PREVENTION OR CONTROL OF LEGIONELLOSIS, INCLUDING LEGIONNAIRES DISEASE
ANNEX H&S 4.11/1 NOTIFICATION OF COOLING TOWERS AND EVAPORATIVE CONDENSERS

H&S 4.12 ASBESTOS
ANNEX H&S 4.12/1 HAZARDOUS MATERIALS REGISTER

H&S 4.13 RADON

H&S 4.14 ELECTRICITY AT WORK REGULATIONS 1989

H&S 4.15 NOISE AT WORK REGULATIONS 1989

H&S 4.16 THE GAS SAFETY (INSTALLATION AND USE) REGULATIONS 1994

H&S 4.17 REGULAR AND STATUTORY INSPECTION OF EQUIPMENT
ANNEX H&S 4.17/1 SUMMARY OF COMMON TYPES OF INSTALLATION REQUIRING A FORMAL STATUTORY INSPECTION
ANNEX H&S 4.17/2 EXAMPLES OF MINIMUM MAINTENANCE ARRANGEMENTS TO SATISFY EXPLICIT OR IMPLIED STATUTORY REQUIREMENTS

H&S 4.18 THE HEALTH AND SAFETY (SAFETY SIGNS AND SIGNALS) REGULATIONS 1996

H&S 4.19 THE CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 1994

H&S 4.20 ACCESS FOR PEOPLE WITH DISABILITIES

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H&S 6.0 FIRE PRECAUTIONS TO BE TAKEN BY CONTRACTORS DURING WORKS
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ACCIDENT REPORTING AND FIRST AID

HEALTH AND SAFETY ALERT SYSTEM
   ANNEX H&S 9.0/1  ACCIDENT/DANGEROUS OCCURRENCE REPORT FORM
INTRODUCTION

The discipline of Health and Safety (H&S) has come a long way in the last decade or so. It is easy to think of H&S in purely monetary terms, but it encompasses humanitarian and statutory issues as well and these three, together, underpin today’s H&S legislation. As a consequence, most forward-thinking organisations are no longer content to comply with the minimum requirements of H&S legislation (mainly in order to avoid prosecution) but have come to realise that their most valuable asset is their employees.

H&S is no longer driven by the need to meet the legal requirements of the legislation and the realisation that employees are any company’s most valuable asset gives managers a vested interest, as well as a legal duty, to protect them. H&S should not be seen, therefore, as an interruption to a Department’s activities, or even a ‘specialist’ part of it, but as part of everything that all staff in a well run organisation do in the course of each working day. To underline this message: to be efficient, a workplace needs to be safe.

The main piece of legislation, the Health and Safety at Work, etc Act 1974 was a revolution in safety law in that it brought together, for the first time, certain concepts which we now take for granted. It introduced ‘health’ into legislation; prior to this Act, many diseases, such as pneumoconiosis, went unchecked by regulation due to complacency or ignorance of the ill-health effects of many substances. The Act brought together existing industrial safety legislation and strengthened the enforcement basis of the older Factories and similar Acts. Also for the first time, people in ‘work’ situations became protected by law; prior to the Act, only one-twelfth of the UK workforce had any sort of protection in a work situation. The Act was also a piece of enabling legislation, which allowed future regulations to be enacted under it without recourse to Parliament. Employers must fulfil every aspect of the Act as far as is reasonably practical: this duty is absolute. Thus, the onus is on the employer to prove that a safety-related provision is not reasonable and practicable, otherwise failure to implement any such provision leaves the employer liable to prosecution.

H&S legislation is no longer viewed as an irksome set of rules but as an important economic and social issue. Recent prosecutions of senior management in several companies for failures under H&S legislation and the attendant publicity has served to focus attention on the need throughout all organisations for a high level of commitment to ensuring the safe well-being of staff, visitors, contractors and the public at large.
The value in these terms should not be underestimated:

- there are over 2 million people annually in the United Kingdom who suffer from illnesses which they believe to be work-related;

- approximately 29 million days are lost in industry each year as a result of injuries and the effects of ill health.

Whilst it is the more high profile incidents which capture the headlines from time to time, such as an explosion at a chemical factory, the vast majority of injuries and ill health which are work-related are caused by the more mundane day to day activities:

- 28% of accidents are caused by people falling, including slipping on wet floors, tripping up, etc;

- 34% of accidents are caused as a result of handling goods incorrectly.

Cost of Health and Safety

Understandably, the introduction of H&S measures often has a cost implication. Under existing legislation, management is allowed to take into account the costs of any of these measures, including whether they are reasonable and practicable and also:

- time: it takes time to plan and organise safety, but this will pay dividends later. Employees have more confidence in their managers and are better motivated where organisations are seen to be devoting time to H&S issues; and

- money: the time thus expended by management and others in the implementation of H&S measures, has a cost. However, these costs should be seen as investments because they improve employee/workplace efficiency and prevent or reduce costly accidents, with subsequent claims for compensation, loss of productivity, adverse publicity, etc.
Safety Culture

In order to increase awareness of Health and Safety by employers and employees alike, organisations should encourage all staff to improve their existing outlook in health and safety matters. This can be achieved through:

- promotion of awareness campaigns;
- full and effective consultation with recognised Trade Unions;
- the establishment of Safety Representatives, Representatives of Employee Safety, Safety Committees, etc; and
- the effective training of staff.

This will establish a ‘safety conscious’ attitude of mind and make staff more alive to recognising hazards in the workplace and help them to consider carefully the consequences of any actions they propose to take. To emphasise management commitment to these concepts, this should be part of the Health and Policy Statement drawn up by any pro-active organisation.

Extent of PMs’ Responsibilities

The legislation referred to in this Section is not exhaustive: it excludes, for example, items such as the IEE Regulations for Electrical Installations or other Codes of Practice, and British or European Standards intended for use by consultants, designers or contractors in designing or carrying out works. It is not necessary for PMs to have a detailed knowledge of these codes and standards, but their link to best practice and other legislation should be understood. PMs should satisfy themselves that they have access to legislation affecting their Department’s property and that this is kept updated. Most of the Health and Safety legislation cited indicates that the responsibility for compliance usually rests with employers, employees and others, eg those carrying out works and usually refers to compliance ‘so far as is reasonably practicable’ (or similar wording).

Clearly, PMs cannot be responsible personally for all events occurring in the workplace but they have a duty to ensure that those activities directly under their control or supervision are carried out safely and, where the activities are carried out by others, that all reasonable steps are taken to ensure that those persons comply with legislation and good practice. In many cases, this will mean that all contracts or commissions should include references to the need for compliance with the relevant statutory provisions. (See GACC for details.)
In cases where third parties (e.g., contractors working on the building fabric which may contain harmful materials such as asbestos or window cleaners using equipment provided by the individual Department) require information from Departments in order to ensure safety, PMs must provide this information.

In situations where PMs or others carry out work in-house (i.e., staff), PMs should ensure a safe working environment, safe equipment, and that safe systems of work are implemented and maintained.

Where factors which affect the health and safety of occupants and members of the public are under the control of others (e.g., a Holder, a Landlord, etc.), PMs should obtain written confirmation from such parties that they comply with all relevant legislation. This confirmation may reasonably be expected to include certificates where applicable.

**Summary**

It is important that PMs understand their responsibilities and the legal implications of not complying with relevant legislation.

If PMs feel that any working procedures are unsafe they have the right to order such work to stop.

Where further expert advice on the implications of the Health and Safety at Work Act on building work is required, PMs should contact the relevant Premises Adviser.

The Local Authority Fire Officer or Local Fire Brigade must not be used for fire precaution advice. However, the Local Fire Brigade must be consulted if matters affecting their access to the property in the event of fire. (The PACE FSG provides further information on this issue.)

**What should you do?**

1. Ensure that you are aware of the limits of your responsibility.

2. Ensure that the requirements of your Department’s Health and Safety Policy are understood and practised by all those concerned.

3. Know where to obtain expert advice on all legislation; Codes of Practice; Guidance; British and European Standards pertinent to premises management.
DEVELOPING A HEALTH AND SAFETY POLICY STATEMENT

Introduction

Every safety policy must be a unique document, written in a way that makes it characteristic of the particular organisation. It should be signed and dated by the most senior manager. Positive measures should be implemented to ensure health and safety (H&S) is taken seriously at all levels in the Department.

The content and length of the safety policy will vary according to the nature and complexity of the activities undertaken by Departments. However, it should be a ‘living document’, subject to continuous monitoring and review, rather than something merely kept in a file.

In brief, Departments have a statutory obligation to prepare and, revise as often as may be appropriate, a written H&S Policy Statement and communicate this to all employees and others who may be affected by its activities.

The Statement should include:

- a general statement of intent (signed by the Department’s most senior manager);
- organisation and responsibilities for H&S; and
- arrangements for implementing H&S policy.

The model H&S Policy Statement at Annex H&S 2.0/1 may be used by PMs in developing their Departmental H&S Policies. Departmental requirements will need to be considered when customising the model.
What should you do?

1. Familiarise yourself with your departmental Health and Safety policy.

2. Seek professional advice from your Premises Adviser and/or the Department's Safety Officer on any health, safety or welfare issues not specifically covered in the “Arrangements” section of the Safety Policy or in local instructions/procedures.

3. Construct a Health and Safety Policy for your Department where none currently exists.

4. Establish arrangements for implementing your Department's Health and Safety policy and for auditing their effectiveness.

5. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

   • Writing your health and safety policy statement: a guide to preparing a safety policy statement for a small business. ISBN 0 7176 0424 1 - Priced document.

   • Writing a safety policy: advice for employers HSC6 - Single copies of the leaflet are available free of charge.
ANNEX H&S 2.0/1 - MODEL H&S POLICY STATEMENT

General Statement of Intent

The Department is committed to providing a safe and healthy working environment for all its employees. So far as is reasonably practicable, it will have systems and procedures in place which will ensure that all equipment, plant and premises are safe and free from hazards affecting staff. This will mean that employees, visitors and others affected by its operations are exposed to the least possible risk.

As a minimum, the Department will comply with current H&S Legislation, Approved Codes of Practice, Guidance Notes, British & European Standards, and any subsequent legislation enacted under the Health & Safety at Work etc Act 1974.

Employees have a duty to co-operate with the Department to ensure that the policy is effective. The Department requires all its employees to take reasonable care for their own health and safety and avoid all actions or inactions which may adversely affect the health, safety and welfare of themselves, visitors and the public in general.

This policy is fully endorsed by (‘the Management Board’) and it will be implemented by Management throughout the Department and brought to the attention of all employees. The Department will ensure that employees are kept informed of current and future legislation and that management systems are in place to ensure effective communication, information and training in H&S matters.

The policy also requires that clearly defined standards are publicised and that monitoring and auditing procedures are present to ensure that the Department’s operations meet the required H&S standards.

The Department will review its H&S policy every three years, or earlier if circumstances warrant it, to ensure its further development and continuing relevance to the structure and needs of the organisation.
**Organisation and Responsibilities**

The Department's most senior manager has ultimate responsibility for H&S and will ensure that the H&S Policy is fully implemented. Other senior managers and line management are personally responsible and accountable, as an integral part of their normal management duties, for the health, safety and welfare of personnel under their control. They are expected to lead by example and to follow the Department's policy.

In accordance with the Department's Management Structure, the positions which have direct accountability to the senior manager for health, safety and welfare, are as follows:

![Management Structure Diagram]

**NB:** In order to highlight an individual's accountabilities, it is recommended that the duties and responsibilities of each level of management, supervisory and other relevant positions in the Department be defined and persons holding these positions named.

Responsibility for the implementation of the policy rests with the Department's senior manager in each property occupied. These senior managers will appoint Safety Officers for each property and deputies to assume responsibility in the Safety Officers' absence. Although senior managers may delegate duties to others, they retain overall control and accountability for all health and safety matters within their area of management responsibility.

Senior managers have a duty to investigate, report and record any accidents, near-accidents and dangerous incidents in accordance with the Department's current instructions.

All line managers must be familiar with and follow local fire, bomb and assault instructions and any relevant external emergency procedures. In addition, they must ensure that their personnel have received adequate information, instruction and training in these areas. They should also be alert to any examples of ill-health which may be attributable to working conditions, procedures and/or practices.
Where significant problems are identified, line management should ensure that these are thoroughly investigated, reported and, so far as is reasonably practicable, measures implemented to remove the cause. Where specific advice is needed to help resolve any particular health and safety issues, all line managers have the support and assistance of the Department's Health and Safety Officer.

The Department practises full and effective consultation with recognised Trade Unions and Representatives of Employee Safety on matters of H&S at both national and regional levels. Appointing Safety Representatives and Representatives of Employee Safety and Safety Committees at appropriate sites is positively encouraged. Full support will be given to Safety Representatives and to Health and Safety Committees in carrying out their duties. The Central Health and Safety Committee of the Department will meet regularly to monitor the implementation of the policy, review statistics on accidents, near misses, health and sickness, absence, discuss instructions and guidance to staff and offer advice on H&S issues.

Arrangements for Implementing the Health and Safety Policy

The Department's Health and Safety Policy will be communicated to all the Department's employees and to others who may be affected by its activities, including contractors and others working in the Department's property. Detailed information and guidance will be provided through circulars, leaflets, videos, etc.

The Department's Health and Safety Handbook and (Local Policies and Responsibilities Guide) will be kept up to date and a copy held in all the Department's properties.

Health and Safety Committees, Safety Representatives and Representatives of Employee Safety will be given and/or have access to all information relevant to their role as soon as is practicable.

The Department will ensure the competence of its personnel by providing training for all relevant managers and others appropriate to their health, safety and welfare responsibilities. In particular, general management courses in the Department will include an H&S module relevant to the level of command.

All new personnel will receive a planned induction which includes the Department's health and safety policy, safe working practices, fire and bomb precautions and procedures, first aid arrangements, personal safety instructions and accident reporting procedures. They will also be given a familiarisation tour of their workplace and the emergency escape routes.
The Department's work activities will be subject to a formal risk assessment. All hazards identified which constitute a significant risk will be documented and appropriate remedial action implemented, including the introduction of safe working systems, to eliminate or reduce the risk to the lowest extent reasonably practicable.

All accidents, 'near-misses' and dangerous occurrences must be reported. These will be investigated to determine the cause and, where appropriate, remedial action introduced to prevent a recurrence. Reports will be completed in accordance with current instructions and to meet the requirements of the appropriate reporting legislation.

Information on reported accidents, 'near-misses' and dangerous occurrences will be made available to all relevant parties, ie Senior Management; the Central Health and Safety Committee, TUS Safety Representatives; Representatives of Employee Safety; Local Health and Safety Committee and the Health and Safety Executive (HSE).

First aid facilities will meet the standards required in the current First Aid Regulations. Each property will aim to have sufficient trained First Aiders and/or Appointed Persons and the procedures will follow the Approved Code of Practice to the First Aid at Work Regulations 1981.

In all property where the Department's personnel are employed, the environment, welfare facilities and other related factors will meet required or recommended minimum standards. The standard will be that required by the Health and Safety at Work etc Act 1974 and the Workplace (Health, Safety and Welfare) Regulations 1992.

Particular attention will be paid to temperature; ventilation; purity of air and water supply; lighting; storage; sanitary conveniences; noise and overcrowding.

In all the Department's property, a Fire Precautions Officer (FPO) will be selected to carry out the instructions of the Senior Manager. The FPO will ensure that instructions for dealing with fire and bomb emergencies are satisfactory and will make arrangements for regular fire drills and checks of fire equipment. These arrangements must take account of visitors to the Department's property and the needs of people with disabilities. Senior managers will take urgent action to implement recommendations arising out of formal fire inspections. (See the "Fire Safety Guide" for reference).
Suitable procedures will be devised by line managers to deal with other emergencies such as the possibility of personal injury; loss of light or power, flooding or other major events. Account must be taken of any hazards presented by the proximity of high-risk industries and any information concerning their emergency procedures. (See the “Business Continuity Planning Guide” for reference).

The senior manager in each of the Department’s properties is required to monitor the health, safety and welfare arrangements and, periodically, carry out audits to check the effectiveness of the safety policy. The reports of the safety audits, including action taken to address problems identified, are to be made available to all interested parties. In particular, the reports will include reviews of existing risk assessments carried out under specific pieces of legislation, e.g. Management of Health and Safety at Work Regulations 1992, the Health and Safety (Display Screen Equipment) Regulations 1992 and the Manual Handling Operations Regulations 1992. Copies of all routine checks and risk assessments will be sent to the Regional/Head Office Safety Officer for quality assurance purposes.

The requirements of the Control of Substances Hazardous to Health Regulations 1994 and other related legislation will be satisfied at all the Department’s workplaces. All necessary precautions will be taken with the use, storage, handling and transportation of materials and substances. In order to minimise risks, the least hazardous type of material or substance available will be used or purchased and, furthermore, there will be regular assessments and monitoring to ensure that this is achieved.

The Department will make every effort to identify and use competent contractors. If there is any doubt about competence, the contractor will not be used. Before starting work on any of the Department’s property, contractors will be given clear guidance on the avoidance of risks and the working arrangements to be followed. (See also H&S 6.0, MTCE 1.3.9 and 1.3.10 and GACC CRS and CRT.)
H&S 3.0  
CROWN IMMUNITY

Most of the Acts of Parliament and Regulations referred to in this section and elsewhere in the Guide apply to the Crown. Where the legislation does not apply, the extent of Crown exemption will be defined.

All Departments headed by Ministers of the Crown are classed as Crown bodies, but some organisations outside of this definition may not have, or may have lost, Crown status; if in any doubt as to their own Department's status, PMs should check with their HQ. Crown exemption does not normally extend to cover independent contractors working for the Crown on services provision functions such as catering, etc. Again, PMs should check the situation applicable to their circumstances.

Even when Crown Exemption applies, it is Government policy to comply with the substantive requirements of legislation relating to office and factory premises wherever this is reasonably practicable and to observe the same standards as would be required if the Crown were bound by the statute.

Although the Crown itself is immune from prosecution under the HSWA, it is Government policy to conform to H&S legislation. Whilst criminal action cannot be taken against Departments, individual employees may be liable to prosecution if they fail to follow the procedures laid down by their Departments for safe practice. HSE is the Enforcing Authority for Crown premises and they have a number of wide-ranging powers of which PMs should be aware. These are covered later in this Guide.

PMs should note that under the Crown Proceedings Act 1947 Section 25, no distraining order may be served against the Crown. If a situation arises where bailiffs arrive at a Crown property to serve such a notice, contact should immediately be made with the Court to recall the bailiffs, failing which the Treasury Solicitor should be notified and instructed to proceed immediately for an Order of Certiorari to quash the order.

What should you do?

Seek professional advice on Crown Immunity and interpretation of legislation pertinent to premises management from your Premises Adviser and/or your Department's Safety Officer in order to clarify your own responsibilities, where necessary.
This section outlines the general requirements of legislation applicable to
Crown occupied property. Later sections give more detailed information on
specific Acts of Parliament and Regulations. However, it is not possible to give
a comprehensive list of all relevant legislation, nor to provide exact details of
the statutory provisions mentioned.

The legislation detailed below has been selected because of its application to
Crown occupied property. In particular, PMs should seek the advice of their
HQ or legal branches for interpretation of the statutory provisions listed or
on other legislation applicable to activities of their own Department.
Furthermore, this section should be read in conjunction with any relevant
Departmental Instructions or Treasury/Cabinet Office circulars.

The main H&S Acts or Regulations of importance to PMs are as follows:

- Fire Precautions Act 1971;
- Fire Precautions (Workplace) Regulations 1997;
- Fire Safety and Fire Safety at Places of Sport Act 1987;
- Health and Safety at Work etc Act 1974;
- Occupiers Liability Acts 1957 and 1984;
- Defective Premises Act 1972;
- Disability Discrimination Act 1995;
- Control of Substances Hazardous to Health Regulations 1994;
- Control of Asbestos at Work Regulations 1987;
- Electricity at Work Regulations 1989;
- Noise at Work Regulations 1989;
- Management of Health and Safety at Work Regulations 1992;
- Workplace (Health, Safety and Welfare) Regulations 1992;
- Provision and Use of Work Equipment Regulations 1998;
• Personal Protective Equipment at Work Regulations 1992;
• Health and Safety (Display Screen Equipment) Regulations 1992;
• Manual Handling Operations Regulations 1992;
• Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995;
• Safety Signs and Signals Regulations 1996;
• Notification of Cooling Towers and Evaporative Condensers Regulations 1992;
• Gas Safety (Installation and Use) Regulations 1998;
• Lifting Operations and Lifting Equipment Regulations 1998;
• Food Safety Act 1990;
• Food Safety (General Food Hygiene) Regulations 1995;
• Control of Pollution Act 1974;
• Environmental Protection Act 1990;
• Controlled Waste Regulations 1992;
• Radioactive Substances Act 1993;
• Water Acts and Water Byelaws 1989;
• Town and Country Planning Act 1990;
• Building Regulations 1991;
• Construction (Design and Management) Regulations 1994; and
• Construction Products Regulations.

**What should you do?**

1. Seek professional advice on interpretation of legislation pertinent to premises management from your Premises Adviser, Departmental Safety Officer or your legal branch/section.

2. Ensure that you are aware of your responsibilities and of the appropriate actions to be taken to fulfil them.
The purpose of the Health and Safety at Work etc Act 1974 (HSWA) is to provide a legal framework for the promotion of high standards of health, safety and welfare at work. It places obligations upon employers, employees and non-employees (such as contractors) and protects the health and safety of the general public who may be affected by work activities. It is also an enabling measure which provides for the gradual replacement of existing laws by revised and updated provisions. These are usually in the form of Regulations, Approved Codes of Practice and Guidance.

The main piece of legislation relating to all office accommodation, facilities and working environment, is the Workplace (Health, Safety and Welfare) Regulations 1992, (the “Workplace Regulations”). However, this legislation does not deal with general fire precautions which are covered by the Fire Precautions Act 1971 (FPA) and the Fire Precautions (Workplace) Regulations 1997. (See H&S 4.21 and the PACE Fire Safety Guide for reference).

Although the Crown itself is immune from prosecution under the HSWA, it is Government policy to conform to H&S legislation. Whilst criminal action cannot be taken against Departments, individual employees may be liable to prosecution if they fail to follow the procedures laid down by their Departments for safe practice. HSE is the Enforcing Authority for Crown premises and they have a number of wide-ranging powers of which PMs should be aware. These are covered later in this Guide.

Employers’ Responsibilities Under the Act

Employers are required to ensure, so far as is reasonably practicable, the health, safety and welfare of people at work. In particular, this extends to:

- provision and maintenance of safe plant/equipment and systems of work;
- safe arrangements for the use, handling, storage and transport of articles and substances used in connection with work;
- sufficient information, instruction, training and supervision;
- maintenance of work premises in a safe condition; and
- provision and maintenance of a safe working environment.
In addition, employers must protect non-employees which means protecting people other than immediate employees against risks to their health and safety arising out of work activities on or from property within their control. This applies to contractors, visitors and members of the public and includes providing them with information on any relevant risks in the property. Both employers and non-employees working on or from the property have responsibility to carry out their work in such a manner so as to ensure, as far as is reasonably practicable, that they do not compromise the health and safety of others.

The storage and use of harmful substances, such as poisons, highly flammable or otherwise dangerous substances, must be controlled by employers, including contractors employed on departmental premises. Also, action should be taken to prevent people from unlawfully using harmful substances or from keeping them.

Every employer with five or more employees must prepare a written statement of safety policy which ensures that employers think carefully about the nature of hazards in the workplace and what can be done to reduce the risks and make the workplace a healthy and safe one. It is also designed to increase employees’ awareness of the employers policy and arrangements for safety. Policy statements need to be reviewed and revised regularly to take account of changes in working conditions and responsibilities of individuals. (See H&S 2.0 - Developing a Health and Safety Policy Statement for reference.)

Employers are also required to consult Trade Union appointed Safety Representatives or Representatives of Employee Safety and, where appropriate, Safety Committees on H&S matters. Furthermore, in order to enable Safety Representatives or Representatives of Employee Safety to execute effectively their duties, they are given a number of legal entitlements, e.g. time off work to attend training, carry out safety inspections and investigate accidents.

**Employees’ Responsibilities Under the Act**

Employees are legally obliged to:

- take reasonable care of their own health and safety and that of their colleagues and others who might be affected by what they do or fail to do at work;

- co-operate with their employer to enable him/her to meet legal obligations imposed under the HSWA and related health and safety legislation; and

- not to interfere with or misuse anything provided in the interests of health, safety and welfare.
Legal proceedings against Civil Servants are uncommon and are subject to an assurance given by the HSE that Crown employees will be prosecuted only in the same circumstances as employees outside the Civil Service. This applies where there is deliberate or dangerous neglect of H&S requirements. HSE will not prosecute individuals for honest mistakes or because of faults in the management organisation.

In the unlikely event that criminal proceedings are taken against individual Civil Servants, legal advice will be given at the Department's expense. The question of the provision of costs towards defending proceedings is at the discretion of the Department. Hence, staff should be encouraged to seek support from and the involvement of their appropriate Trade Union.

Legal action in Common Law (from which Civil Law is derived) is subject to a body of rules and precedents which have developed over many years. Essentially, if it can be proven that an employer has failed to exercise a duty of reasonable care to another party and injury (including damage and/or other business loss) has resulted through the employer's negligence, then compensation may be awarded by the Civil Courts.

In the H&S field, legal action could result both under Criminal (HSWA or subsidiary H&S legislation) and Civil Law. However, in the case of negligence by a manager in a Department, it is far more likely that Civil Law (suing for compensation) would result rather than prosecutions of individuals under Criminal Law (HSWA).

**Inspection of Government Premises**

The Health and Safety (Enforcing Authority) Regulations 1998 allocate responsibility for the enforcement of HSWA. In brief, responsibility is either vested in the HSE or Local Authorities (usually the Environmental Health Officers). Under current arrangements, HSE has responsibility for enforcing H&S standards in Crown bodies and hence, Departments should not agree to the inspection of its premises by local authority inspectors other than by invitation (except for the purpose of ensuring compliance with Food Safety Legislation). However, on the principle that there shall be no self-inspection, HSE will inspect the premises of Local Authorities and Local Authorities will inspect those belonging to HSE (even though it is a Crown body).
HSE Inspectors have a number of wide ranging powers conferred to them under HSWA that PMs should be aware of, namely:

- they may enter premises (without notice) at any reasonable time or at any time if they have reason to suspect a dangerous situation, if necessary in the company of the Police;

  (N.B: Inspectors are appointed in writing by the enforcing authority and must produce a copy of the appointment documentation when asked to do so. Inspectors may, however, have proof of their appointment incorporated within an ID card rather than as a separate document.)

- they can undertake inspections, look into adverse reports submitted to them and investigate accidents;

- they can require the production of, and copy, relevant documents and may collect and remove evidence including samples, materials and equipment from the premises;

- they can question any person who may have relevant information; and

- if inspectors have reasonable cause to believe that any article or substance found in the premises is a cause of imminent danger they may seize it and render it harmless by destruction.

**Issue of Notices under the HSWA**

The Act provides for the use of notices to enforce people to meet standards or prevent accidents. The general duties and other provisions of Part 1 of the Act are binding on Crown bodies although they cannot be prosecuted nor can they be issued with statutory prohibition or improvement notices enforceable by law. The HSE has introduced a formal non-statutory notice for Crown bodies based closely on those served on other employers. These arrangements will apply to Departments and will enable HSE to discuss a breach of any statutory provision at Permanent Secretary level.

**Infringement of the HSWA by the Department**

If there has been an infringement of the HSWA or subordinate legislation, or there are activities which could end in serious personal injury, the inspector will issue notices to the Department as employer. These will:

- make clear what has to be improved; or

- state that the work must stop until the matter is put right.
The notices should be treated as enforceable and management should follow the requirements of the notice completely.

**Improvement Notices**

Improvement Notices are served where there has been a contravention of a statutory instrument and make clear what improvements need to be made to satisfy the issuing authority. A statement may not always be made on the method of making improvements. Normally ‘Improvement Notices’ carry a time limit within which the work required must be completed. They cease to be valid only when the necessary improvements have been made.

**Work Must Stop Notices**

Where there is an immediate risk of serious personal injury these Notices apply straight away. In other cases, they apply after the time limit stated in the Notice. They must be obeyed in all respects, and they remain valid until the causes of danger, made clear in the notice, have been eliminated and/or suitably controlled.

The issue of an Improvement or Work Must Stop Notice must be dealt with urgently at all stages. The Safety Officer should read the terms of the Notice carefully and put in hand the remedial measures required by the Notice, including any measures necessary to prevent accidents. The facts should be reported immediately by telephone (and followed up in writing) to:

- Line Managers; and
- Departmental Safety Officers (where appropriate).

**Informing Local Safety Representatives or Representatives of Employee Safety and Employees about the Issue of Notices**

The HSWA states that HSE inspectors must inform both employers and employees or their representatives of action taken or proposed. This will happen where employees' health, safety and welfare might be affected by the conditions in which they work and where inspectors are taking action accordingly. Safety Representatives, appointed under the Safety Representatives and Safety Committee's Regulations 1977 should receive this information from the inspectors by receipt of a copy of the Improvement and Work Must Stop Notices. On receipt, Safety Representatives should inform the local Trade Union Side Secretaries.
The Management of Health and Safety at Work Regulations 1992 amends the Safety Representatives and Safety Committees Regulations 1977 by placing a duty on employers to consult with Safety Representatives and to provide facilities and assistance. In addition, the Health and Safety (Consultation with Employees) Regulations 1996 extend the consultation provisions to all employees, not merely those who belong to Trade Unions. Employers have two choices with respect to those employees who are not represented by Safety Representatives under the 1977 Regulations: they can either consult with the employees directly or consult with one or more persons of any group of employees who were elected for the purposes of consultation, and who are referred to as ‘Representatives of Employee Safety’. In brief, whatever the situation, the employer must ensure that employees are kept informed about matters affecting their health, safety and welfare and are consulted with regard to the measures to be implemented to address any significant risks identified.

What should you do?

1. Seek professional advice on interpretation of the Health and Safety at Work etc Act 1974 from your Premises Adviser and/or Departmental Safety Officer.


3. Ensure that you are aware of your responsibilities and of the appropriate actions to be taken to fulfil them.
H&S 4.2

THE WORKPLACE (HEALTH, SAFETY AND WELFARE) REGULATIONS 1992

These Regulations replace a number of old and excessively detailed pieces of legislation. They cover a wide range of basic health, safety and welfare issues and, unlike the Factories Act 1961 and the Offices, Shops and Railway Premises Act 1963, apply to all places of work (except means of transport, construction sites, some mineral extraction sites, and workplaces on agricultural or forestry land away from main buildings).

In general, the Regulations place duties on employers in respect of workplaces under their control and where their employees work (including people with disabilities). In addition, duties are placed on controllers of premises in respect of matters within their control. For example, the owner of a multi-occupancy building will be responsible for the common provision of services and facilities (toilets, ventilation plant, etc), thus extending the legal obligations set out in the HSWA.

The Workplace Regulations 1992 are supported by an Approved Code of Practice and Guidance (L24); hence the legislation is much easier to understand and a clearer indication of what is expected of employers is provided. The Regulations set general requirements under four broad headings:

1. Working Environment:
   - ventilation;
   - temperature of indoor workplaces;
   - lighting, including emergency lighting;
   - room dimensions and space; and
   - workstations and seating;

2. Safety:
   - safe passage of pedestrians and vehicles;
   - windows and skylights (safe access/cleaning);
   - glazing in windows, doors and partitions;
   - doors, gates, escalators and moving walkways;
   - potential falls from heights and into dangerous substances; and
   - falling objects;
3. Facilities:

- toilets;
- washing, eating and changing facilities;
- drinking water;
- accommodation for clothing;
- rest areas with suitable arrangements to protect non-smokers from discomfort caused by tobacco smoke; and
- rest facilities for pregnant women and nursing mothers;

4. Housekeeping:

- maintenance of workplace equipment and facilities;
- cleanliness; and
- removal of waste materials.

What should you do?

1. Seek professional advice on interpretation of the Workplace (Health, Safety and Welfare) Regulations 1992 from your Premises Adviser and/or the Department's Safety Officer.

2. Ensure that you are aware of your responsibilities and of the appropriate actions to be taken to fulfil them.

3. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   - Workplace (Health, Safety and Welfare) - A Short Guide for Managers. IND(G)244(L) ISBN 0 7176 1328 3 - Single Copies of the leaflet are available free of charge.
OCCUPIERS LIABILITY ACTS 1957 AND 1984

The 1957 Act requires an employer to take such care in all circumstances to ensure that visitors will be reasonably safe in using the premises for the purpose for which they were invited or permitted to be there. However, it was recognised that an invited person would be expected to appreciate the risk ordinarily incidental to the work (e.g., a window cleaner). On the other hand, occupiers must expect children to be less careful than adults, and if they put up some form of warning, this will not discharge their legal duty unless in all the circumstances it is sufficient.

In addition, the 1984 Act provides that occupiers of premises owe a duty to uninvited persons (trespassers) if:

- they know there is a risk because of the state of the premises;
- they know the trespasser will be in or may come on to the premises; and
- the risk was one which occupiers could reasonably be expected to provide some protection against.

Dangerous situations frequently arise whilst repairs are awaiting attention, or during building work. PMs must be alert to these and take steps to warn and prevent persons from incurring the risk of injury. Furthermore, PMs should note that if minors are invited onto Crown premises e.g., to attend a creche, during school holidays or whilst parents or guardians are engaged on overtime, Departments remain liable for their health and safety whilst they are on the premises. The Acts do not apply in Scotland or Northern Ireland but there are similar legal requirements.

What should you do?

1. Seek professional advice on interpretation of the Occupiers Liability Acts 1957 and 1984 from your Premises Adviser and/or Departmental Safety Officer.

2. Ensure the invitation of non-employees (including minors) onto the Department's premises is specifically covered in the Safety Policy.

3. Ensure that you are aware of your responsibilities and of the appropriate actions to be taken to fulfil them.
H&S 4.4  

**MANAGEMENT OF HEALTH AND SAFETY AT WORK REGULATIONS 1992, INCLUDING ‘GENERAL RISK ASSESSMENT’**

These Regulations, supported by an Approved Code of Practice (ACOP) set out some broad general duties which apply to almost all kinds of work. They are aimed mainly at improving H&S Management, and expand upon what is already contained in the Health and Safety at Work etc Act 1974. Employers who have been thorough in their approach to their duties under the Act should have little difficulty in complying with the Regulations.

In brief, the Regulations require employers to:

- assess the risks to the health and safety of employees and to anyone else who may be affected by their work activities, in order to identify the measures needed to comply with relevant statutory provisions. Employers with five or more employees will need to record the significant findings of the risk assessment and the document should be dated to indicate when the review was undertaken;

- make arrangements for implementing the preventive and protective measures identified as being required by the risk assessment. Arrangements for planning, organisation, control, monitoring and review will need to be covered. Again, employers with five or more employees will have to record their arrangements;

- carry out health surveillance of employees where appropriate;

- appoint Competent People to help devise and implement the H&S arrangements and allow sufficient time and adequate means for these duties to be carried out. Such Competent People may be selected from among employees or from outside the organisation;

- set up emergency procedures to be followed in the event of serious or imminent danger (eg fire);

- give employees comprehensible and relevant information about H&S matters. The departmental safety policy should set out clearly where responsibilities for H&S functions lie. It is essential that the statement is kept up to date and re-issued at regular intervals to demonstrate that it, and the procedures outlined, are under constant review. Staff should be notified of the content of risk assessments in a manner which is capable of being clearly and easily understood;
co-operate with other employers on matters of H&S in shared workplaces. It is recommended that details of the health and safety policy, evacuation procedures and risk assessments are exchanged, where appropriate, to assist the co-operation process. Care should be taken to ensure that the most recent documentation is provided;

ensure that employees have adequate H&S training (on recruitment or transfer to a new job, or where new equipment or systems of work are introduced) and are sufficiently capable at their jobs to avoid risks; and

give appropriate and comprehensible H&S information, including copies of the Health and Safety Policy and/or Risk Assessment as appropriate, to temporary workers (workers supplied by employment businesses, contractors, cleaners and caterers etc), to meet their special needs.

The Regulations also:

place duties on employees to follow H&S instructions and report danger; and

extend the current law requiring consultation with employees' safety representatives and the provision of facilities for them.

These general duties co-exist with the more specific ones contained in other H&S Regulations, but things do not need to be done twice. For example, if a risk assessment has been carried out to comply with the Control of Substances Hazardous to Health Regulations 1994, it is not necessary to do it again for the same hazardous substances to comply with the Management of Health and Safety at Work Regulations 1994. As a general rule, a specific duty supersedes a general one that duplicates it.

This section provides PMs with an overview of the general requirements of the Management of Health and Safety at Work Regulations. However, in order to ensure compliance with this particular statutory instrument, it is essential that PMs have a thorough understanding of risk assessment and its application to premises management. Further information on this important subject is provided below.

**Risk Assessment**

PMs, on behalf of the employer, are responsible for ensuring that suitable and sufficient assessments of risks are undertaken within departmental property and that appropriate measures are implemented to either eliminate or reduce any significant health and safety risks identified to the lowest extent reasonably practicable. While this may appear to be a fairly simple concept, the task itself can be quite a complex operation involving several different parties.
As a starting point, it is essential that PMs are familiar with the Regulations and Approved Code of Practice and that only Competent Persons (i.e., individuals who have sufficient training and experience or knowledge and other qualities) are appointed to undertake the necessary risk assessments. In brief, there are five key steps to the risk assessment process viz:

- **Step 1** - Identify the hazards which could reasonably be expected to result in significant harm and/or other business loss;

- **Step 2** - Decide who or what might be harmed. (Particular attention should be paid to staff with disabilities, pregnant staff, inexperienced staff, visitors and lone workers);

- **Step 3** - Evaluate the risks arising from the hazards and decide whether the existing precautions are adequate or further controls should be implemented;

- **Step 4** - Record the significant findings, including the risks that are not adequately controlled and the action needed to eliminate or reduce the risks to a reasonably acceptable level; and

- **Step 5** - Periodically review the risk assessments and revise them if necessary.

There are, of course, many different risk assessment techniques, some of which are quite basic, others that are extremely complicated. However, it is not the method which is the critical element in the process, but the judgement of the assessor. Furthermore, in devising an appropriate course of action to effectively eliminate or reduce significant risks, the following hierarchy of control measures, which has evolved over many years, should be adopted:

- total elimination of the hazard;

- substitution - alternative (less hazardous) materials, equipment or methods of working;

- controls, in the form of limiting access to, or isolation of, the hazard, mechanical guards or enclosures of the process, Nominated Persons, prescribed safe working methods and procedures, preventative maintenance, testing, sampling and monitoring, reduced time exposures, good housekeeping;

- communication, training and comprehensive information, warnings, signs;
- personal protective equipment;
- health surveillance; and
- monitoring of newly introduced remedial measures and review of effectiveness within a prescribed time interval with revision and further review as required.

In addition, PMs should be aware that risk assessments are only valid so long as there are no significant changes in departmental premises/activities. Should there be significant changes and/or modifications to the Department's premises/activities or if there is reason to believe the original risk assessment was not valid, then the process must be reviewed. Effective management systems must be implemented to ensure that all such changes are identified and that risk assessments are reviewed accordingly.

It is vital that PMs understand which risk assessments are their responsibility and those which are the responsibility of others. In this context, the guidance and philosophy recommended under OPT 1.0 and OPT 2.0 should be used. The Risk Assessment Checklist and its accompanying Assessment Form, attached as Annex H&S 4.4/1 are designed to facilitate the identification of hazards and evaluation of risks. Also attached, as Annex H&S 4.4/2, is a copy of HSE's own checklist from their IN D(G) 218 publication. In many cases, PMs will need to delegate assessments to others competent to undertake the tasks concerned but they should seek (and record) confirmation from such other parties of the risks arising and the preventive and protective measures introduced to control them. The following are examples of categories of risk assessments and who should carry them out:

1) Risk Assessments of Staff Functions

These may be carried out by PMs or by the managers of the function concerned. They may include the risks of fire/bomb emergency, personal accidents, injuries arising from the use of display screen equipment (DSE), injuries from lifting or moving stores or equipment, electric shock, etc. In some cases (eg fire/bomb emergency, use of DSE) PMs or Line Managers will be able to identify the risk and decide how to avoid it. In other cases, for example personal accidents, electric shock, others will have responsibilities (eg electric shock - contractor, personal accidents - First Aider).
2) Risk Assessments of Lone Working Arrangements

There is no general prohibition on working alone, but occasionally the law stipulates that at least two people must be involved in the work and specifies the safe systems of work to be followed. Examples include entry into confined spaces, the use of ladders which cannot be secured and require footing, certain fumigation work and the use of prescribed dangerous machines by inadequately trained young people. Where there is no specific legal prohibition on working alone, legislation requires that suitable and sufficient risk assessments of the operations are undertaken. PMs or managers of the function will need to ensure that safe working arrangements for solitary workers are established. In particular, special attention should be paid to addressing the following:

- **Can the risks of the job be adequately controlled by one person or are more people necessary?**

  Solitary workers should not be exposed to significantly more risks than employees who work together. Precautions should take account of normal working conditions and foreseeable emergency situations, e.g. fire, equipment failure, illness and accidents. All places where people work alone should be identified and the following questions asked:

  - Does the workplace present a special risk to the solitary worker?
  - Is there safe access and exit for one person?
  - Can one person handle safely any temporary access equipment which is necessary, such as portable ladders or trestles?
  - Can all the plant, substances and goods involved in the work be handled safely by one person? The work may involve lifting objects too large for one person; more than one person may be necessary to operate essential controls for the safe running of equipment;
  - Will cash be handled and will there be a risk of violence?

- **Is the person medically fit and suitable to work alone?**

  Check that solitary workers have no medical conditions which make them unsuitable for working alone. Seek medical advice if necessary. Consider both routine work and foreseeable emergencies which may pose additional physical and mental burdens on the individual.
• **What training is required to ensure proficiency in safety matters?**

Training is particularly important where there is limited supervision to control, guide and help in situations of uncertainty. It may be critical to avoid panic reactions in unusual situations. Solitary workers need to understand fully the risks involved in the work, the necessary precautions and be sufficiently experienced. Employers should establish clear procedures to set the limits to what can and cannot be done while working alone. They should specify how to behave in circumstances which are new, unusual or beyond the scope of training, e.g., when to stop work and seek advice from a supervisor.

• **How will the person be supervised?**

Although solitary workers cannot be subject to constant supervision, employers still have a duty to provide appropriate control of the work. Supervision complements information, instruction and training and helps to ensure that employees understand the risks associated with their work and that the necessary safety precautions are carried out. It can also provide guidance in situations of uncertainty.

The extent of supervision required depends on the risks involved and the proficiency and experience of the employee to identify and handle safety issues. Employees new to the job, undergoing training, doing a job which presents special risks or dealing with new situations may need to be accompanied at first. The extent of supervision required is a management decision. It should not be left to individuals to decide they require assistance. Safety supervision can generally be carried out when visits are made to check the progress and quality of the work and may take the form of periodic site visits coupled with discussions in which safety issues are assessed.

• **What happens if a person becomes ill, has an accident, or there is an emergency?**

Solitary workers should be capable of responding correctly in emergency situations. Emergency procedures should be established and employees trained to implement them.

Information about emergency procedures should be given to solitary contract workers who visit the premises. Solitary workers should have access to adequate first aid facilities and mobile workers should carry a First Aid kit suitable for treating minor injuries.
Suitable systems should be devised to monitor the condition of solitary workers, and include at least a check at the end of the working period. In addition it is desirable to consider:

- procedures where supervisors periodically visit and visually monitor people working alone;

- procedures where regular contact between the solitary worker and supervision is maintained using either a telephone or radio;

- automatic warning devices which operate if specific signals are not received periodically from the solitary worker, eg systems for security staff; and

- other devices to raise the alarm in the event of an emergency, operated manually or activated automatically by the absence of activity, (eg motion alarms).

This list is not exhaustive but covers the general obligations placed on employers in both statute and civil law for safe lone working arrangements.

(HSE leaflet “Working Alone in Safety - controlling the risks of solitary work IN DG 73(rev)” provides further guidance.)

3) Risk Assessments of Home Working Arrangements

In general terms, risk assessments of work activities undertaken by personnel based at home will be the responsibility of the managers of the function. Nevertheless, PMs should be aware that the overriding principle is that a Department owes a duty and a standard of care to persons working at home which is equivalent to those who attend Departmental premises (in matters over which the Department has control). In brief, HSWA and Regulations made under it apply to home workers in the following matters:

- maintenance of equipment used for work purposes;

- systems of work to be adopted; and

- information instruction training and supervision.

The Act does not apply to:

- maintenance of the workplace (ie the home);

- access to the workplace;

- environmental issues eg heating, lighting and ventilation; nor

- means of escape.
It is important to note that the legal obligations imposed are towards the work activity and not the workplace. However, when assessing the Health & Safety (H&S) of home workers, particular consideration should be given to the following:

- the safety policy should include reference to home workers and the management of their H&S;
- furniture, equipment and consumables, their use, installation, replacement and maintenance should be evaluated to ascertain any hazards and furthermore to assess the level of risk;
- information, instruction, training and supervision must be provided to the equivalent standard as for employees working in the Department’s premises;
- equipment should be suitable and adequately maintained. It is important to realise the responsibilities under the Provision and Use of Work Equipment Regulations 1998 and as regards items such as cables, sockets, isolation and the Electricity at Work Regulations 1989. A sound maintenance procedure is to remove the equipment from the home for service, giving an exchange unit for the interim period;
- it would be sensible to provide information on the indoor environment, e.g. temperature, humidity and ergonomic considerations; and
- first aid facilities should be made available as well as incorporating home workers in the Accident Book Scheme: employees working at home who have injured themselves in the course of their employment should report these incidents through the usual channels.

4) Risk Assessments of Mechanical and Electrical Planned Maintenance

These assessments will normally be the responsibility of the Premises Adviser or contractor concerned who is obliged by legislation to undertake such assessments. Departments are also responsible for the safety of those working on the planned maintenance tasks and PMs should have a copy of the Appointed Person’s risk assessment.

Maintenance activities can introduce significant H&S risks, particularly when the task is unfamiliar e.g. when dealing with an unexpected breakdown. In these situations, it is essential that no new task is undertaken without a proper assessment of the risks by a Competent Person. Furthermore, where appropriate, PMs should ensure that ‘Permit to Work’ systems are implemented.
A Permit to Work is essentially a document which sets out the work to be done and the precautions to be taken and forms part of an overall safe system of work. It pre-determines a safe procedure and is a clear record that all foreseeable hazards have been considered in advance and that all appropriate precautions are defined and taken in correct sequence. It does not, in itself, make the job safe, but is dependent for its effectiveness on the persons concerned carrying it out conscientiously.

Permits to Work may be applied to any activity but are particularly appropriate to work on:

- production machinery (where safeguards may be removed or immobilised in order to carry out maintenance);
- electrical installations;
- pressure systems;
- pipework containing hazardous materials;
- asbestos or materials contaminated by asbestos;
- hot work (flame cutting and welding in buildings);
- excavation in the region of buried services;
- entry into confined spaces etc.

In addition, Permit to Work systems should be utilised if there would be a significant risk to others if detailed safety precautions were not implemented eg overhead work.

5) Risk Assessments of Electrical Shock Hazard from Portable Electrical Equipment

In this situation, contractors responsible for maintaining the electrical installation to which the appliances are connected have responsibility for its safety for such use and this should be included in their own assessments. However, unless the contract includes maintenance of the portable equipment for safety purposes, the contractor is not responsible for such appliances. In such cases, PMs should seek advice from their Premises Adviser and ensure that assessments are carried out - this will usually be addressed in a programme of regular inspection and testing of the portable equipment. (See H&S 4.17 for reference.)
6) Risk Assessments for Construction of New Office Wing

Where the scope of the work falls within the Construction (Design and Management) Regulations 1994 (CDM), risk assessments for the construction activities will be the responsibility of planning supervisors appointed by PMs (or whoever orders the work). However, risk assessments for use of the new property will be the responsibility of PMs.

In summary, it is crucial that PMs ensure that all the main areas of risk within the workplace are assessed by a Competent Person and that those responsible for the avoidance of the risks are identified clearly.

What should you do?

1. Identify the main areas of risk in your Department.

2. Ensure that a Competent Person undertakes all necessary risk assessments and that these are recorded.

3. Introduce appropriate systems to ensure that the H&S arrangements are monitored continuously and that, so far as is reasonably practicable, risk assessments are reviewed as and when required.

4. Ensure that information on H&S risks identified, and the preventive and protective measures implemented to eliminate and/or control significant risks, is conveyed to Trade Union Safety Representatives/Representatives of Employee Safety; staff and any other interested parties eg Contractors, House Committee, H&S Committee.

5. Where appropriate, request copies of risk assessments from contractors undertaking hazardous operations on behalf of the Department and ensure, so far as is reasonably practicable, that the H&S instructions/procedures are complied with (eg window cleaning).

6. Seek professional advice from your Premises Adviser and/or the Department’s Safety Officer, if necessary.

7. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:
   
   - Five Steps to Risk Assessment. IND 163(rev1) 5/98 C5000 ISBN 0 7176 0904 9 - Single copies of the leaflet are available free of charge.

• Home Working - Guidance for Employers and Employees on Health and Safety. IND(G) 226L ISBN - 0 7176 1204 X - Single copies of the leaflet are available free of charge.
ANNEX H&S 4.4/1 - RISK ASSESSMENT CHECKLIST

This checklist and its accompanying Assessment Form are designed to facilitate the identification of hazards and evaluation of risks to the health and safety of persons employed at or visiting Departmental premises.

The checklist is not exhaustive but should be merely used as an ‘aide-memoire’ in the risk assessment process. The criteria should be applied to each discrete work area and records kept of any additional hazards not specifically covered.

A report should be made in relation to exceptions only, although a record should be maintained of all areas checked. Exception reports must contain recommendations for remedial action and should be copied to all interested parties eg Line Management; Trade Union Safety Representatives and/or Representatives of Employee Safety; Safety Committee; House Committee and, where appropriate, Contractors.

Risk Assessments should be reviewed annually or when there are significant changes in the property, for example partition or other material alterations, and/or changes in the nature of work undertaken or where there are reasons to believe the original assessment is no longer valid.
Floors (All answers should be ‘No’)

1. Are floor surfaces slippery or wet?
2. Are any loose carpets or mats placed upon slippery floors?
3. Is there any evidence of loose floorboards, crumbling screed, broken tiles or subsidence?
4. Do the floor coverings present any hazard, eg are they torn, frayed, split, turned up, etc?
5. Do floors have obstructions which may impede access or egress?
6. Is there any wiring trailing along floors which may create a hazard?

Ceilings (All answers should be ‘No’)

7. Are there any loose or damaged ceiling tiles?
8. Are there any loose or damaged light fittings?
9. Is there any evidence that the general condition of the ceilings may not be satisfactory, eg are there any cracks, exposed wires to lights, fans or other electrical equipment or any cracked glass in skylights or any evidence of penetrating damp and/or other water ingress?
10. Are there any areas where headroom is restricted or where overhead obstructions may present a health and safety hazard?

Lighting (All answers should be ‘Yes’)

11. Is lighting considered to be adequate on staircases, fire escape routes and in toilets?
12. Is emergency lighting considered to be adequate, in good operational order and subject to regular testing?
13. Is the lighting considered to be satisfactory in general office areas?
14. Has a lighting survey been carried out?
Walls (Internal) (All answers should be ‘No’)

15. Are there any cracks appearing in the walls which appear to indicate structural damage, particularly problems due to impact damage, eg trolleys colliding with columns, etc?

16. Are any wall fixtures such as cupboards, notice boards and pictures insecure?

17. Are there any exposed wires leading to switches, wall lights and other electrical equipment?

18. Is there any evidence of penetrating/rising damp and/or other water ingress?

19. Are ventilation openings obstructed?

20. Are there any areas that are not suitably decorated and not maintained in a reasonable condition?

Doors (All answers should be ‘Yes’)

21. Is glass in doors in good condition and of the appropriate type?

22. Are whole glass doors marked appropriately so that they are easily recognised?

23. Are swing doors capable of being restrained and are they fitted with appropriate Push/Pull notices?

24. Are door entrances or exits clear of obstructions?

25. Are vision panels fitted where appropriate?

26. Are fire doors appropriately labelled, kept closed at all times or, alternatively, held in position by magnetic catches which are released on activation of the fire alarm system?

27. Do fire doors and doors in constant use have self-closing mechanisms?

28. Are all doors free from structural damage and maintained in a reasonable condition?
Windows (All answers should be ‘Yes’)

29. Are windows capable of being secured when open?
30. Are all panes of glass in good condition and free of cracks?
31. Are window sills free of clutter?
32. Does the window opening mechanism operate freely and, where appropriate, are suitable devices provided, eg pole hooks, to enable top opening lights to be operated safely?
33. Are suitable facilities provided, eg eyehooks, cradles, to enable all windows, skylights, etc to be cleaned safely and are these devices adequately maintained?

The Workstation, including DSE (All answers should be ‘Yes’)

34. Has management arranged for every member of staff to complete a DSE ‘User Questionnaire’?
35. Are those questionnaires readily available?
36. Have the shortcomings identified by the DSE workstation risk assessments been addressed?
37. Are questionnaires completed by all new members of staff and followed up by DSE workstation risk assessments?

Layout of Workstation (All answers should be ‘Yes’)

38. Is the VDU sited at a right angle to the window?
39. Are fluorescent strip lights viewed end-on?

General Impression of Workstation Areas (All answers should be ‘No’)

40. Does the office feel too hot or cold?
41. Is the office overcrowded?
42. Is the office unreasonably noisy?
43. Does the air in the office feel too dry?
Furniture (All answers should be ‘No’)

44. Are articles stored on top of cabinets?
45. Are drawers and doors being left open which could cause injury?
46. Is any furniture in a poor state of repair?
47. Are cabinets stacked on top of one another?
48. Are there any 4-drawer presses or cabinets without anti-tilt mechanisms?
49. Is any furniture used in a manner unsuitable for its purpose?

Heating and Ventilation (All answers should be ‘Yes’)

50. Are combustible items kept away from sources of heat?
51. Is an adequate indoor temperature maintained at all reasonable times?
52. If supplementary heating appliances are used, are they kept away from likely sources of combustion, eg curtains or furniture?
53. Is adequate ventilation maintained especially in toilets, computer rooms and basements?

Stores and Materials (All answers should be ‘Yes’)

54. Is a record kept of substances hazardous to health (including a Register of Asbestos)?
55. Are hazardous substances stored and labelled correctly?
56. Are flammable liquids stored in a cool and secure place?
57. Are combustible materials stored away from heating sources?
58. Are storerooms and machine rooms labelled as no smoking areas?
59. Is waste paper kept in a cool, safe place pending collection?
Lifting and Carrying (All answers should be ‘Yes’)

60. Has management formally assessed all manual handling operations identified as presenting a significant risk to the health and safety of staff.

61. Has management made staff aware of good lifting and carrying practices?

62. Are ladders of the type and height to be used safely, in good condition and able to bear the weight for which they are intended?

63. Is appropriate equipment available to assist in the safe handling of deliveries to the destination point or storage area?

64. Is filing and storeroom racking at the height consistent with safe storage and retrieval of files, stationery, equipment, etc?

Staircases (All answers should be ‘Yes’)

65. Are stair treads in good condition without chips or excessive wear?

66. Do stair treads have anti-slip precaution?

67. Are all stair carpets in good condition, properly secure and undamaged?

68. Do stairs have suitable secure handrails?

Lifts (All answers should be ‘Yes’)

69. Is the maximum working load and/or maximum occupancy level clearly marked on the inside of the lift(s)?

70. Are the lifts regularly tested, served and maintained in accordance with the prescribed Regulations?

71. Are the doors to lift plant rooms provided with ‘No Unauthorised Access” notices and kept locked?

72. Are appropriate notices posted inside lift(s) regarding escape when trapped?

73. Are notices available for posting in the event of a lift being put out of use?

74. Are notices posted in the lift giving instructions in the use of the emergency telephone or other emergency procedures?
External (All answers should be ‘Yes’)

75. Are all walls or fences in good, sound condition?
76. Are all signs secure?
77. Are locks on entrance doors and car park gates robust and efficient?
78. Is the car park properly managed and free of hazards?
79. Is access suitable for the disabled?

Fire and Other Emergencies (All answers should be ‘Yes’)

80. Are all the staff familiar with the Fire and Bomb instructions and are they available and accessible?
81. Are all the emergency exits adequately signed and are staff familiar with the routes to be taken in the event of an emergency evacuation of the building?
82. Are all stairs, stairwells, exit doors and fire escape routes kept free of obstructions which could impede escape?
83. Are the number, type and location of fire extinguishers adequate for fighting electrical and non-electrical fires?
84. Have all extinguishers been tested within the last 12 months?
85. Has a Fire Survey been carried out within the last 2 years?
86. Have all recommendations made been acted upon?
87. Does the building require a Fire Certificate?

Gas, Water and Electricity (Answers should be ‘Yes’ or ‘No’ as indicated)

88. Is there any likelihood of risk to staff from any appliances or installations to which gas is piped? (No)
89. Is there any risk to staff from the use of water in the building either by spillage, from scalding or by coming into contact with electricity? (No)
90. Are there any exposed or bare electrical wiring or cables likely to form a trip hazard? (No)
91. Has an electrical equipment check been carried out in accordance with the HSE Guidance Maintaining Portable Electrical Equipment in Office and other Low-Risk Environments? (Yes)

92. Is there any evidence of overloading electrical outlets? (No)

93. Is there any unofficial electrical equipment in use? (No)

94. Do the appropriate staff know of the whereabouts of stopcocks/isolation devices for gas, water and electricity? (Yes)

First Aid (All answers should be ‘Yes’)

95. Does the office have adequate First Aid cover?

96. Is a record maintained of all First Aiders and are staff aware of who they are (eg by notices posted)?

97. Is there either a First Aider or Appointed Person present whenever staff are in the building?

98. Is there an Accident Book?

General (All answers should be ‘Yes’)

99. Are contracts in place for the maintenance and servicing of miscellaneous office equipment, eg photocopiers, mobile racking systems, paper shredders, telephone systems, etc?

100. Are records of maintenance visits kept and are they readily available?

101. Are all Emergency call out lists up to date?

102. Are separate risk assessment reports available for staff who work alone or without close/direct supervision?
ANNEX H&S 4.4/1 (Continued) - GENERAL ASSESSMENT OF RISK

Explanatory Notes and Guidance

‘Hazard’: this means anything that has the potential to cause harm, eg a substance, an object, a machine or any other physical aspect of the environment. Actions or a failure to act may also be included.

“Persons at Risk”: there is no need to list individuals by name, just think about groups of people doing similar work or who may be affected eg E: Employees; YP: Young Persons; CON: Contractors; PUB: Public and VIS: Visitors. Pay particular attention to staff with disabilities, visitors, inexperienced staff and lone workers.

‘Risk’: this is a measure of the probability and the consequence if the particular hazard is realised eg Risk = Probability (P) x Consequence (C).

‘Risk Rating’: essentially, this is an evaluation of the severity or triviality of the risk in terms of those exposed and the probability and consequence if the hazard is realised eg H: High; M: Medium or L: Low.

“Existing Controls/Documentation/Records”: for the hazards listed, ask the following questions. Do the precautions already taken:

• meet the standards set by legislation?
• comply with a recognised industry standard?
• represent good practice?
• reduce risk as far as reasonably practicable?
• provide adequate information, instruction or training? and
• provide adequate systems or procedures?

If so, then the risks are adequately controlled but you will need to document the established precautions.

‘Proposed Action to Eliminate and/or Reduce Risk’: where the risk is not adequately controlled, indicate what course of action is required. Consider following the ‘hierarchy of control’ measures in STAT 4.5.
‘Review Date’: periodically, a review should be undertaken to ensure that the precautions for each hazard still adequately control the risk. In addition, whenever there is a significant change and/or modification to the workplace or procedures, or there is reason to believe the assessment is no longer valid, the exercise must be repeated.
<table>
<thead>
<tr>
<th>Ref No</th>
<th>Hazard (EVP CON)</th>
<th>Persons at Risk (R = P x C)</th>
<th>Existing Controls Documentation/Risk H, M or L</th>
<th>Proposed Action to Reduce Risk E Y P CON</th>
<th>Implementation Date</th>
<th>Senior Manager's Signature and Date</th>
<th>Office Name and Location</th>
<th>Name of Assessor and Date</th>
<th>Review Date</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>
### Risk Factors

<table>
<thead>
<tr>
<th>Risk Factor</th>
<th>Help</th>
<th>Further Action if Needed</th>
<th>Action Completed Equipment</th>
<th>Further Points to Satisfy When Introducing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the screen free from glare and reflections?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Use mirror placed in front of screen to check where reflections are coming from.</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Try to move the screen, desk or source of reflections.</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adjust lighting or window coverings. Check that blinds work. (Vertical blinds are more effective than horizontal blinds).</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If you have tried these suggestions, consider an anti-glare screen filter or seek specialist help.</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the keyboard comfortable?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the keyboard tiltable?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Can you find a comfortable keying position?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the work surface large enough for documents, monitor, keyboard, etc?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the keyboard glare free?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the screen surface low reflectance material?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the keyboard separate from the screen?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Does the keyboard need repositioning?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Can VDU monitor be pushed further back? (see 3 below)</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Seek supplier’s help.</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Keyboard may need cleaning, modifying or replacing.</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the chair stable?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Do the adjustment mechanisms work?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Are you comfortable?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>Is the user sitting properly? Try adjusting chair. Are arms horizontal and eyes at roughly the same height as the top of the VDU casing? Are feet flat on the floor? Too much pressure on backs of legs and knees may mean a foot rest is needed. Is the small of the back supported by the chair?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
<tr>
<td>The user leaning forward are arms of chair (if any) preventing user getting close enough to keys comfortably? Are there obstructions under the desk that need to be removed?</td>
<td>Yes</td>
<td>No</td>
<td>✓</td>
<td>✗</td>
</tr>
</tbody>
</table>
### VDU Workstation Checklist for Risk Assessment and Complying with the Schedule to the Regulations

**Workstation number:** (if applicable) __________________ **Date of assessment:** ____________

**Any further action needed?:**     YES/NO

**User:** _________________________________________

**Follow up action completed on:** ____________________________________

**Checklist completed by:** ___________________________

**Notes for completing:** For risk assessments complete columns headed “risk factors” to “action completed” inclusive. Where the answer is “Yes” in the second column, no further action is necessary.

**Assessment checked by:** ___________________________

To check equipment complies with the Schedule, answer “Yes” to questions in the first and last columns.

<table>
<thead>
<tr>
<th>RISK FACTORS</th>
<th>TICK</th>
<th>ANSWER</th>
<th>YES</th>
<th>NO</th>
<th>HELP</th>
<th>FURTHER ACTION IF NEEDED</th>
<th>ACTION COMPLETED EQUIPMENT</th>
<th>FURTHER POINTS TO SATISFY WHEN INTRODUCING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the environment around the workstation risk-free?</td>
<td>✔</td>
<td></td>
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<tr>
<td>Are there enough room to change position and vary movement?</td>
<td>✔</td>
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<tr>
<td>Are the levels of light, heat and noise comfortable?</td>
<td>✔</td>
<td></td>
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<tr>
<td>Does the air feel comfortable?</td>
<td>✔</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Is the software user-friendly?</td>
<td>✔</td>
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<tr>
<td>Can you comfortably use the software?</td>
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<td>Has the user had enough training?</td>
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<td>Is the display screen image clear?</td>
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<td>Are the characters readable?</td>
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<tr>
<td>Is the screen clean?</td>
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<tr>
<td>May need supplier’s help</td>
<td>✔</td>
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<td>Is the image free of flicker and movement?</td>
<td>✔</td>
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<td>Are the brightness and contrast adjustable?</td>
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<td>Does the screen pivot and tilt?</td>
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<td>Is there adequate room for the workstation?</td>
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<td>Is it being used in the best place?</td>
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<td>Is equipment quiet?</td>
<td>✔</td>
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<td>What about when a list is in one area?</td>
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<td>Will more equipment significantly raise the temperature?</td>
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<td>How will reasonable humidity be achieved?</td>
<td>✔</td>
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<td>Is the software suitable for the task?</td>
<td>✔</td>
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<tr>
<td>Can it be easily used with appropriate training?</td>
<td>✔</td>
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<td>Does it give feedback, eg adequate help messages?</td>
<td>✔</td>
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<tr>
<td>Is the screen clean?</td>
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**RISK FACTORS TICK HELP FURTHER ACTION ACTION FURTHER POINTS TO SATISFY ANSWER IF NEEDED COMPLETED WHEN INTRODUCING**

**YES NO EQUIPMENT**

**Health and Safety Executive**

**Health and Safety Executive**
NEW AND EXPECTANT MOTHERS


The amendment Regulations apply to employees who:

- are pregnant;
- have given birth within the previous six months; or
- are breast feeding.

In brief, the amendment Regulations require that, when women of childbearing age are employed, assessments carried out under the Management of Health and Safety at Work Regulations must include consideration of the risks to new or expectant mothers. Risks include those to the unborn child or a child being breast fed by a woman who has returned to work and not just risks to the mother herself. Risks may arise from physical, biological and chemical agents, from any processes and from working conditions.

Examples of the type of risk factors which PMs should consider, include the following:

**Physical Agents**

- Shock, vibration or other movements that could disrupt placental attachment.
- Manual handling of loads where there is a risk of injury.
- Temperature extremes, particularly heat which can be less well tolerated than cold.

**Biological Agents**

- Bacteria, viruses and micro-organisms known to cause adverse human effects, especially those known to cause abortion or physical/neurological damage.
Chemical Agents

- Chemicals labelled with ‘risk phrases’:
  - R40: possible irreversible effects;
  - R45: may cause cancer;
  - R46: may cause heritable genetic damage;
  - R61: may cause harm to the unborn child;
  - R63: possible risk to the unborn child;
  - R64: may cause harm to breast-fed babies;
- Mercury and mercury derivatives; and
- Substances absorbed through the skin, eg pesticides.

Working Conditions

- Work with display screen equipment involving sitting for prolonged periods, mental or physical fatigue and which may cause stress/anxiety.
- Standing for long periods.
- Vulnerability to threats of violence in tasks with direct dealings with members of the public.

Many of the hazards affecting new or expectant mothers are covered by specific Regulations or exposure limits, and adequate compliance with these will normally ensure that new and expectant mothers are not at risk. Legislation such as the Lead and Ionising Radiation Regulations, set lower exposure limits for women who are pregnant or of childbearing age.

In addition to specific hazards, there are other aspects of pregnancy which may affect an individual’s health and safety. If there is any doubt about the significance of the risk, PMs should seek the advice of an Occupational Health Specialist.
What should you do?

1. Seek professional advice from your Premises Adviser, Department’s Safety Officer or an Occupational Health Specialist on the health and safety risks, applicable to premises, which may affect new and expectant mothers.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   - New and Expectant Mothers at Work: A Guide for Employers HS(G)122.
H&S 4.6

THE HEALTH AND SAFETY (DISPLAY SCREEN EQUIPMENT) REGULATIONS 1992

These Regulations, supported by detailed guidance, cover a new area of work activity for the first time. Work with display screen equipment (DSE) is generally not high risk, but it can lead to physical (musculoskeletal) problems, visual fatigue and mental stress. These are not unique to DSE work nor an inevitable consequence of it. However, as in other types of work, ill health can result from poor work organisation, working environment, job design and posture, and from inappropriate working methods. While surveys indicate that only a very small proportion of DSE workers are likely to be involved, the number of cases may still be significant as DSE workers are so numerous. Nevertheless, research indicates that all known health problems associated with DSE work can be prevented altogether by good design of the workplace and the job, and by worker training and consultation.

The Regulations apply to DSE where there is a ‘User’ ie an employee who habitually uses DSE as a significant part of normal work. Subject to a few specific exclusions (such as window typewriters), they cover equipment used for the display of text, numbers and graphics regardless of the display process involved. However, not everyone who uses DSE is covered by the Regulations, only those most likely to be at risk.

Individuals using DSE more or less continuously on most days will be classified as users, as would others who:

- normally use DSE for continuous spells of an hour or more at a time and use it in this way more or less daily; and

- have to transfer information quickly to or from the screen and need to apply high levels of attention or concentration; or are highly dependent on DSE; or have little choice about using it; or need special training or skills to use the equipment.
The Regulations do not contain detailed technical specifications or lists of approved equipment. Instead, they set more general objectives. Essentially, employers have to:

1) **Analyse workstations, and assess and reduce risks**

Employers need to look at:

- the whole workstation including equipment, furniture, and the work environment;
- the job being done; and
- any special needs of individual staff (whose views should be sought as part of the assessment).

Where significant risks are identified, the employer must take steps to reduce them.

2) **Ensure workstations meet minimum requirements**

These requirements are good features that should normally be found at a workstation, such as adjustable chairs and suitable lighting. They are set out in a Schedule to the Regulations, covering screens, keyboards, desks, chairs, the work environment and software. All workstations covered by the Regulations now have to comply to the extent necessary for the Health and Safety of workers (a transitional period for modification of older workstations expired at the end of 1996).

3) **Plan work so there are breaks or changes of activity**

As the need for breaks depends on the nature and intensity of the work, the Regulations require either breaks or changes of activity but do not specify their timing or length. However, the guidance explains general principles, for example where necessary short, frequent breaks are better than longer, less frequent ones. Ideally, the individual should have some discretion over when to take breaks.
4) On request, arrange eye tests, and provide spectacles if special ones are needed

Employees covered by the Regulations can ask their employer to provide and pay for an eye and eyesight test. This is a test by an optometrist or doctor. There is also an entitlement to further tests at regular intervals; the optometrist doing the first test can recommend when the next should be. Employers only have to pay for spectacles if special ones (for example, prescribed for the distance at which the screen is viewed) are needed and normal ones cannot be used.

5) Provide health and safety training and information

Employers have to provide appropriate training, to make sure employees can use their DSE and workstation safely, and know how to make best use of it to avoid health problems, eg by adjusting the chair.

Information should also be provided about general DSE health and safety. This should include background information and cover more specific details of the steps taken by the employer to comply with the Regulations, such as the action taken to reduce risks and the arrangement for breaks.

NB: These requirements also extend to employees working at home and habitually using DSE for a significant part of their normal work.

PMs may have specific responsibilities to ensure that DSE workstations are risk assessed, that they satisfy the minimum requirements set out in the Schedule to the Regulations and that appropriate measures are taken, so far as is reasonably practicable, to eliminate or reduce any significant H&S risks identified to the lowest extent reasonable practicable. In brief, consideration should be given to the following criteria contained in the Schedule:

General

The use as such of the equipment must not be the source of risk for operators or users.

Display Screen

The characters on the screen shall be well-defined and clearly formed, of adequate size and with adequate spacings between the characters and lines.
The image on the screen should be stable, with no flickering or other forms of instability.

The brightness and the contrast between the characters and the background shall be easily adjustable by the operator or user, and also be easily adjustable to ambient conditions.

The screen must swivel and tilt easily and freely to suit the needs of the user; a separate base for the screen or an adjustable table may be used if preferred by the user.

The screen shall be free of reflective glare and reflections liable to cause discomfort to the user.

**Keyboard**

The keyboard shall be tiltable and separate from the screen so as to allow the user to find a comfortable working position avoiding fatigue in the arms or hands.

The space in front of the keyboard shall be sufficient to provide support for the hands and arms of the user between keying operations.

The keyboard shall have a matt surface to avoid reflective glare.

The arrangement of the keyboard and the characteristics of the keys shall be such as to facilitate the use of the keyboard.

The symbols on the keys shall be adequately contrasted and legible from the designed working position.

**Work Desk or Work Surface**

The work desk or work surface shall have a sufficiently large, low-reflectance surface and allow a flexible arrangement of the screen, keyboard, document and related equipment.

The document holder shall be stable, adjustable and shall be positioned so as to minimise the need for uncomfortable head and eye movements.

There shall be adequate space for operators or users to find a comfortable working position.
Work Chair

The work chair shall be stable and allow the user easy freedom of movement and a comfortable position.

The seat shall be adjustable in height.

The seat back shall be adjustable in both height and tilt.

A footrest shall be made available to any user who wishes one.

Environment

Space Requirements

The workstation shall be dimensioned and designed so as to provide sufficient space for the user to change position and vary movements.

Lighting

Any room lighting or task lighting provided shall ensure satisfactory lighting conditions and an appropriate contrast between the screen and the background environment, taking into account the type of work and the vision requirements of the user.

Possible disturbing glare and reflections on the screen or other equipment shall be prevented by co-ordinating workplace and workstation layout with the positioning and technical characteristics of the artificial light sources.

Reflections and Glare

Workstations shall be so designed that sources of light, such as windows and other openings, transparent or translucid walls, and brightly covered fixtures or walls cause no direct glare and no distracting reflections on the screen.

Windows shall be fitted with a suitable system of adjustable covering to attenuate the daylight that falls on the workstation.

Noise

Noise emitted by DSE shall be taken into account when a workstation is being equipped, with a view to ensuring that attention is not distracted and speech is not disturbed.
Heat

Equipment belonging to any workstation shall not produce excessive heat which could cause discomfort to users.

Radiation

All radiation, with the exception of the visible part of the electromagnetic spectrum, shall be reduced to negligible levels from the point of view of the protection of users' health and safety.

Humidity

An adequate level of humidity shall be established and maintained.

Interface between computer and user

In designing, selecting, commissioning and modifying software, and in designing tasks using DSE, the employer shall take into account the following principles:

- software must be suitable for the task;
- software must be easy to use and, where appropriate, adaptable to the level of knowledge or experience of the user; no quantitative or qualitative checking facility may be used without the knowledge of the users;
- systems must provide feedback to users on performance;
- systems must display information in a format and at a pace which are adapted to users; and
- the principles of software ergonomics must be applied, in particular, to human data processing.

Ergonomic requirements for office work with visual display terminals (VDT’s) are contained in BS EN 29241:1993 but there is no requirement in the DSE Regulations to comply with this or any other standard. Other approaches to meeting the minimum requirements in the Regulations are possible, and may have to be adopted if there are special requirements of the task or needs of the user preclude the use of equipment made to relevant standards. However, PMs may find these standards helpful as workstations satisfying BS EN 29241:1993 would meet, and in most cases go beyond, the minimum requirements in the Schedule to the Regulations.
A checklist, similar to that produced by HSE and reproduced as an Annex to this section, may assist Departments in carrying out their assessments.

What should you do?

1. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer on compliance with the Regulations. In particular, ensure that:

   - risk assessments of all DSE workstations are undertaken formally by a Competent Person and that these are recorded;
   
   - systems are introduced to ensure that the H&S arrangements are monitored continuously and that, so far as is reasonably practicable, risk assessments are reviewed as and when required;
   
   - information on the H&S risks identified, and the preventive and protective measures implemented to eliminate and/or control significant risks, is conveyed to Trade Union Safety Representatives/ Representatives of Employee Safety and individual users;
   
   - appropriate H&S information and training has been provided to all users;
   
   - users are aware of the arrangements for eye and eyesight tests;
   
   - appropriate health reporting procedures have been established; and
   
   - adequate rest breaks or changes of activity are established and adhered to.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

     ISBN 0 7176 0410 1 - Priced Document;
   
   - VDUs: An Easy Guide to the Regulations HS(G)90
     ISBN 0 7176 0735 6 - Priced Document;
   
   - Working With VDUs INDG36(rev1)
     ISBN 0 7176 1504 9 - Single copies of the leaflet are available free of charge.
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<tr>
<td>Purpose of assessment</td>
<td>To identify measures which need to be taken to comply with the requirements and prohibitions imposed by or under the relevant statutory provisions.</td>
<td>To consider the questions set out in column 2 of Schedule 1 relating to the factors listed in that schedule.</td>
<td>To determine whether the personal protective equipment is suitable.</td>
<td>To assess workplaces for health and safety risks to which users/operators are exposed.</td>
<td>To identify which employees and self-employed people are exposed.</td>
<td>To identify which employees and self-employed persons are exposed.</td>
<td>To identify which employees and self-employed persons are exposed.</td>
<td>To identify which employees and self-employed persons are exposed.</td>
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Differences in Requirements:

- The stated purpose is different for each set of regulations.
- The duty to make an assessment of the nature and degree of the exposure to lead.

Practical Significance:

Differences are significant in that they determine what you have to cover in your assessment.

For all hazards, under the Management Regulations, the purpose of the assessment is for you to find out what health and safety measures you have to adopt to comply with legal requirements.

If, besides the Management Regulations, one of the other regulations in this table covers the hazard you are considering, you need also to follow its purpose of assessment to determine what measures you have to adopt to meet its detailed legal requirements.

If the Management Regulations apply, you need to consider whether any other regulations with no risk assessment requirement of their own (and so not listed in this table) apply to the hazard. For example, in assessing the risk from using machinery, you need to consider the legal requirements of the Provision and Use of Work Equipment Regulations. If there are no other regulations that apply, your assessment under the Management Regulations need only consider how to ensure health and safety ‘so far as is reasonably practicable’.

Noise Regulations: The duty on employer/self-employed is to ensure a competent person carries out the risk assessment.

HSE 61
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<tbody>
<tr>
<td>Whose risk should be assessed?</td>
<td>Employees (at work)</td>
<td>Manual handling operations to be undertaken by employees or self-employed people</td>
<td>Personal protective equipment (PPE) which an employer or self-employed person is required to ensure is provided</td>
<td>Workstations which: employees and the self-employed</td>
<td>Any other person at work who may be affected by the employer's work</td>
<td>Employees and the self-employed liable to be exposed to substances hazardous to health by any work</td>
<td>Other people who may be affected by the employer's work</td>
<td>1. Employees</td>
<td>Assess the risks in relation to:</td>
<td>The differences are significant. The risk to a person from the same hazard can be assessed in rather more detail depending on which of the regulations the person is covered by.</td>
</tr>
<tr>
<td>1. Employees (at work)</td>
<td>Manual handling operations to be undertaken by employees or self-employed people</td>
<td>Personal protective equipment (PPE) which an employer or self-employed person is required to ensure is provided</td>
<td>Workstations which: employees and the self-employed</td>
<td>Any other person at work who may be affected by the employer's work</td>
<td>Employees and the self-employed liable to be exposed to substances hazardous to health by any work</td>
<td>Other people who may be affected by the employer's work</td>
<td>1. Employees</td>
<td>(a) Employees - required by all regulations</td>
<td>You must assess the risk from noise to your employees and others at work on the basis of the requirements of the Noise Regulations, but for members of the public who are not covered by the Noise Regulations, you could assess their risk on the basis of what is 'reasonably practicable' under the Management Regulations. The same applies to lead and the Lead Regulations.</td>
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<td>2. Self-employed people (at work)</td>
<td>Manual handling operations to be undertaken by employees or self-employed people</td>
<td>Personal protective equipment (PPE) which an employer or self-employed person is required to ensure is provided</td>
<td>Workstations which: employees and the self-employed</td>
<td>Any other person at work who may be affected by the employer's work</td>
<td>Employees and the self-employed liable to be exposed to substances hazardous to health by any work</td>
<td>Other people who may be affected by the employer's work</td>
<td>2. Other people at work on the premises where work with lead is being carried on</td>
<td>(b) Self-employed (ie self-assessment) - required by all regulations except the Lead Regulations and Display Screen Regulations (employees have to assess the risk to the self-employed under the Display Screen Regulations).</td>
<td>(c) Others who are affected by the process, such as other people at work, members of the public, not covered by the Noise Regulations, but for members of the public who are not covered by the Noise Regulations, you could assess their risk on the basis of what is 'reasonably practicable' under the Management Regulations. The same applies to lead and the Lead Regulations.</td>
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<tr>
<td>3. People not in employment who may face risks arising out of or in connection with the conduct of the undertaking</td>
<td>Manual handling operations to be undertaken by employees or self-employed people</td>
<td>Personal protective equipment (PPE) which an employer or self-employed person is required to ensure is provided</td>
<td>Workstations which: employees and the self-employed</td>
<td>Any other person at work who may be affected by the employer's work</td>
<td>Employees and the self-employed liable to be exposed to substances hazardous to health by any work</td>
<td>Other people who may be affected by the employer's work</td>
<td>2. Other people at work on the premises where work with lead is being carried on</td>
<td>Assess the risks in relation to:</td>
<td>You must assess the risk from noise to your employees and others at work on the basis of the requirements of the Noise Regulations, but for members of the public who are not covered by the Noise Regulations, you could assess their risk on the basis of what is 'reasonably practicable' under the Management Regulations. The same applies to lead and the Lead Regulations.</td>
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<tr>
<td>What risks should be assessed?</td>
<td>Risks to health and safety</td>
<td>Manual handling operations which involve a risk of injury (with regard to factors - task, load, working environment, individual capability, other factors - listed in Schedule 1)</td>
<td>Risks to health and safety to which users and operators are exposed in consequence of using the workstations</td>
<td>Exposure to noise</td>
<td>Risks to health resulting from work which involves exposure to substances hazardous to health</td>
<td>Assessment should include the steps that need to be taken to comply with other requirements of the regulations</td>
<td>Exposure of people to asbestos</td>
<td>Each of the regulations requires risks from different specific hazards to be assessed, except for the Management Regulations which cover hazards in a general way</td>
<td>The difference between regulations are significant in that they point to the different hazards to be covered. The difference between the Management Regulations and the other regulations is significant in that hazards, whether or not covered by the other regulations, will fall in any case under the Management Regulations. However, it does not mean that you have to assess a hazard twice, once under the Management Regulations and once under the other regulations; one assessment is all that you need to do.</td>
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<td>1. Risks to health and safety</td>
<td>Manual handling operations which involve a risk of injury (with regard to factors - task, load, working environment, individual capability, other factors - listed in Schedule 1)</td>
<td>Risks to health and safety to which users and operators are exposed in consequence of using the workstations</td>
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<td>2. To which employees, and the self-employed are exposed while at work; and</td>
<td>Manual handling operations which involve a risk of injury (with regard to factors - task, load, working environment, individual capability, other factors - listed in Schedule 1)</td>
<td>Risks to health and safety to which users and operators are exposed in consequence of using the workstations</td>
<td>Exposure to noise</td>
<td>Risks to health resulting from work which involves exposure to substances hazardous to health</td>
<td>Assessment should include the steps that need to be taken to comply with other requirements of the regulations</td>
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<tr>
<td>3. To which third parties are exposed - internal or in connection with the conduct of the undertaking</td>
<td>Manual handling operations which involve a risk of injury (with regard to factors - task, load, working environment, individual capability, other factors - listed in Schedule 1)</td>
<td>Risks to health and safety to which users and operators are exposed in consequence of using the workstations</td>
<td>Exposure to noise</td>
<td>Risks to health resulting from work which involves exposure to substances hazardous to health</td>
<td>Assessment should include the steps that need to be taken to comply with other requirements of the regulations</td>
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<tr>
<td>How thorough should your assessment be?</td>
<td>Suitable and sufficient</td>
<td>Suitable and sufficient</td>
<td>Suitable and sufficient</td>
<td>Adequate</td>
<td>Suitable and sufficient</td>
<td>Adequate</td>
<td>Risk assessments are required to be either 'suitable and sufficient' or 'adequate'.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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**DSE Regulations**

**Property Related Legislation**

**Health and Safety**

**Management of Health and Safety at Work Regulations 1992**

**Manual Handling Operations Regulations 1992**

**Personal Protective Equipment at Work Regulations 1992 (PPE)**

**Health and Safety (Display Screen Equipment) Regulations 1992 (DSE)**

**Noise at Work Regulations 1989**

**Control of Substances Hazardous to Health Regulations 1994 (COSHH)**

**Control of Asbestos at Work Regulations 1987**

**Control of Lead at Work Regulations 1980**

**Differences in Requirements**

**Practical Significance**
### Table: Differences in Requirements

<table>
<thead>
<tr>
<th>Regulations</th>
<th>Differences in Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and Safety at Work Regulations 1992</td>
<td>Differences are not significant. All assessments need to be done beforehand so that you can put the control measures, as determined by your assessment, in place from the start.</td>
</tr>
<tr>
<td>Manual Handling Operations Regulations 1992</td>
<td></td>
</tr>
<tr>
<td>Personal Protective Equipment at Work Regulations 1992</td>
<td></td>
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<tr>
<td>Health and Display Screen Equipment Regulations 1992</td>
<td></td>
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<tr>
<td>Noise at Work Regulations 1989</td>
<td></td>
</tr>
<tr>
<td>COSHH Regulations 1989 (COSHH)</td>
<td></td>
</tr>
<tr>
<td>Asbestos at Work Regulations 1997</td>
<td></td>
</tr>
<tr>
<td>Lead Regulations 1990 (Lead)</td>
<td></td>
</tr>
</tbody>
</table>

### Practical Significance

- **As the Management Regulations cover all risks, you must at least meet their record provision in all your assessments.**
  - **(a)** The differences are significant. You must meet the different requirements of the Noise Regulations and Lead Regulations if they apply to the hazard you are assessing.

- **The other differences are not significant.**
  - **(b)** Differences are not significant. Your record of any assessment is kept for at least four years from the last entry.

### When to Assess

- **Assessment to be made before work begins.**
  - **(a)** Make assessment of all such manual handling operations to be undertaken which involve risk of injury where it is not reasonably practicable to avoid the need for employees or self-employed people to undertake those manual handling operations.

### Recording the Assessment

- **Review assessment:**
  - **(a) If five or more employees exposed:**
    - **(b) Significant findings and any group of employees especially at risk:**
      - **(c) How long to be kept?**
        - **(d) After every assessment:**
          - **(e) Record to be kept until a further assessment is made:**

### Reviewing the Assessment

- **Reason to suspect:**
  - **(a) When?**
  - **(b) What?**
  - **(c) How long to be kept?**
  - **(d) After every assessment:**
  - **(e) Record to be kept until a further assessment is made:**

### Manual Handling Operations Regulations

- **PPE, COSHH, Asbestos Regulations and Lead Regulations require changes in the assessment after work begins.**

### Manual Handling Operations

- **Make assessment of all such manual handling operations to be undertaken which involve risk of injury where it is not reasonably practicable to avoid the need for employees or self-employed people to undertake those manual handling operations.**

### Personal Protective Equipment

- **Assessment to be made before work begins.**

### Health and Safety at Work

- **Assessment to be made before work begins.**

### Noise at Work

- **Assessment to be made before work begins.**

### COSHH

- **Assessment to be made before work begins.**

### Asbestos at Work

- **Assessment to be made before work begins.**

### Lead at Work

- **Assessment to be made before work begins.**

### Recording the Assessment

- **Recording of assessment:**
  - **(a) Only Management Regulations, Noise Regulations, and Lead Regulations have explicit requirements to record assessment.**
  - **(b) Noise Regulations, Lead Regulations - record of every assessment carried out - Management Regulations - record of every assessment if five or more employees.**

### Reviewing the Assessment

- **Review assessment:**
  - **(a) After every assessment:**
  - **(b) Record to be kept until a further assessment is made:**

### Practical Significance

- **As the Management Regulations cover all risks, you must at least meet their record provision in all your assessments.**

### Differences in Requirements

- **(a) The differences are significant.** You must meet the different requirements of the Noise Regulations and Lead Regulations if they apply to the hazard you are assessing.

- **(b) Differences not significant.** Your record of any assessment is kept for at least four years from the last entry.
MANUAL HANDLING OPERATIONS REGULATIONS 1992

More than a third of all over-three-day injuries reported each year arise from manual handling, i.e., the transporting or supporting of loads either by hand or by bodily force. Most of these accidents cause back injury, though hands, arms and feet are also vulnerable. On average, each injury results in 20 days off work and the cost to the individual and the country as a whole is enormous.

(An over-three-day injury is one which is not major but results in the injured person being away from work or unable to do their normal work for more than three days and includes non-work days.)

The Manual Handling Operations Regulations 1992 replace patchy, old-fashioned and largely ineffective legislation with a modern ergonomic approach to the problem. In brief, the Regulations impose three main duties on employers:

• to avoid the need for hazardous manual handling (by automation of the process or by the proper use of mechanical aids), as far as reasonably practicable;

• to carry out, and review on a regular basis, suitable and sufficient risk assessments of all hazardous manual handling that cannot be avoided; and

• to remove, or at least reduce, any risk of injury from hazardous manual handling, as far as reasonably practicable, where manual handling cannot be avoided.

The concept of ergonomics has been incorporated in the Regulations, and employers have to consider a number of factors when assessing the risk of injury from manual handling activities. In particular, PMs need to ensure that manual handling operations risk assessments include consideration of the factors outlined in the table at Annex H&S 4.7/1. In addition, Annex H&S 4.7/2 gives guideline weights for lifting and lowering safely. The model checklist at Annex H&S 4.7/3, which was produced by HSE, can be used to assist PMs in carrying out the risk assessments.

Appendix 1 of the Regulations provides guidance on a system of determining approximate numerical values for maximum weights depending on how the load is manipulated in relation to the body. However, PMs should note that there is no such thing as a ‘safe maximum weight’ and the general guidelines quoted need to be reduced if the manual handling operations concerned involve twisting, frequent lifting and lowering or are undertaken by female members of staff.
In addition to the three principal duties outlined, employers must also ensure that:

- suitable and sufficient training is provided for staff undertaking hazardous manual handling operations. The training should cover:
  - how to recognise harmful manual handling;
  - appropriate systems of work;
  - use of mechanical aids; and
  - good handling techniques;
- general indications and, where it is reasonably practicable to do so, precise information on the weight of each load and the heaviest side of any load whose centre of gravity is not positioned centrally is provided; and
- while undertaking hazardous manual handling operations employees make full and proper use of any system of work (including mechanical aids) supplied.

Employees have duties too. In addition to the obligations imposed under HSAW, employees must:

- follow appropriate systems of work laid down for their safety;
- make proper use of equipment provided for their safety; and
- co-operate with their employer on health and safety matters.

What should you do?

1. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer regarding compliance with the Regulations. In particular, PMs should ensure that:

   - risk assessments of all hazardous manual handling operations are undertaken by Competent Persons and are recorded;
   - appropriate systems exist to ensure that the H&S arrangements are monitored continuously and that, so far as is reasonably practicable, risk assessments are reviewed as and when required;
• information on the H&S risks identified, and the preventive and protective measures implemented to eliminate and/or control significant risks, is conveyed to Trade Union Safety Representatives/Representatives of Employee Safety and staff;

• where mechanical aids are employed that, if appropriate, they are included in the routine maintenance programme;

• where appropriate, copies of risk assessments from contractors undertaking hazardous manual handling operations on behalf of the Department are requested and, so far as is reasonably practicable, that the H&S instructions/procedures are complied with (eg collection of confidential waste);

• appropriate H&S information and training has been provided; and

• loads handled are marked with approximate weights and, if appropriate, the centre of gravity.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


• Getting to Grips with Manual Handling - A Short Guide for Employers. IND(G)143L ISBN 0 7176 0966 9 - Single copies of the leaflet are available free of charge.
# Problems to look for when making an assessment

**Do the tasks involve:**
- holding loads away from the trunk?
- twisting, stooping or reaching upwards?
- large vertical movement?
- long carrying distances?
- strenuous pushing or pulling?
- unpredictable movement of loads?
- repetitive handling?
- insufficient rest or recovery time?
- a work rate imposed by a process?

**Ways of reducing the risk of injury**

**Can you:**
- improve workplace layout to improve efficiency?
- reduce the amount of twisting and stooping?
- avoid lifting from floor level or above shoulder height?
- cut carrying distances?
- avoid repetitive handling?
- vary the work, allowing one set of muscles to rest while another is used?

**Are the loads:**
- heavy, bulky or unwieldy?
- difficult to grasp?
- unstable or unpredictable?
- intrinsically harmful, eg sharp or hot?

**Can you make the load:**
- lighter or less bulky?
- easier to grasp?
- more stable?
- less damaging to hold?
- have you asked your suppliers to help?

**Does the working environment have:**
- constraints on posture?
- poor floors?
- variations in levels?
- hot/cold/humid conditions?
- strong air movements?
- poor lighting conditions?
- restrictions on movement or posture from clothes or personal protective equipment?

**Can you:**
- remove obstructions to free movement?
- provide better flooring?
- avoid steps and steep ramps?
- prevent extremes of hot and cold?
- improve lighting?
- consider less restrictive clothing or personal protective equipment?

**Does the job:**
- require unusual capability?
- endanger those with a health problem?
- endanger pregnant women?
- call for special information or training?

**Can you:**
- take better care of those who have a physical weakness or are pregnant?
- give your employees more information, eg about the range of tasks they are likely to face?
- provide training?
ANNEX H&S 4.7/2 - GUIDELINE WEIGHTS FOR SAFE LIFTING AND LOWERING OPERATIONS

The Manual Handling Regulations set no specific requirements such as weight limits. Instead, they focus on the needs of the individual and set out a hierarchy of measures for safety during manual handling operations. However, to help identify situations where a more detailed risk assessment is necessary, HSE has developed a filter based on a set of numerical guidelines developed from data published in scientific literature and on practical experience of assessing risks from manual handling. The intention is to set out an approximate boundary within which the load is unlikely to create a risk of injury sufficient to warrant a detailed assessment.

The application of the guideline weights will provide a reasonable level of protection to around 95% of working men and women. However, the guidelines should not be regarded as safe weight limits for lifting. There is no threshold below which manual handling operations may be regarded as ‘safe’. Even operations lying within the boundary mapped out by the guidelines should be avoided or made less demanding wherever it is reasonably practicable to do so.

The guidelines for lifting and lowering operations assume the load is easy to grasp with both hands and that the operation takes place in reasonable working conditions with the handler in a stable body position. They take into consideration the vertical and horizontal position of the hands as they move the load during the handling operation, as well as the height and reach of the individual handler. For example, if a load is held at arm’s length or the hands pass above shoulder height, the capability to lift or lower is reduced significantly.

The basic guideline figures for identifying when manual lifting and lowering operations may not need a detailed assessment are set out in the following illustration. If the handler’s hands enter more than one of the box zones during the operation, the smallest figures apply.
These basic guideline figures for lifting and lowering are for relatively infrequent operations (up to approximately 30 operations per hour) and will need to be reduced if the operation is repeated more often.

Furthermore, separate weight guidelines exist for operations involving:

- carrying (further than 10m);
- pushing and pulling;
- handling while seated; and
- twisting.

If the manual handling activities undertaken in your Department are of a complex nature or involve any of the above operations, then you should consult Appendix 1 of the Regulations to determine whether a detailed risk assessment is necessary.
### MANUAL HANDLING OF LOADS

#### SUMMARY OF ASSESSMENT

| Operations covered by this assessment: .......... | Overall priority for remedial action: N il/Low/Med/High* |
| Locations: .................................................. | Remedial action to be taken: ........................................ |
| Personnel involved: ........................................ | Date by which action is to be taken: ................................ |

Personnel involved: ........................................ | Date for reassessment: .............................................. |

Date of assessment: ........................................ | Assessor’s name: ........................................ Signature: ........................................

*circle as appropriate

---

#### Section A - Preliminary

**Q1** Do the operations involve a significant risk of injury? **Yes/No***

If ‘Yes’ go to Q2. If ‘No’ the assessment need go no further.

**Q2** Can the operations be avoided/mechanised/automated at a reasonable cost? **Yes/No***

If ‘No’ go to Q3. If ‘Yes’ proceed and then check that the result is satisfactory.

**Q3** Are the operations clearly within the guidelines in Appendix 1? **Yes/No***

If ‘No’ go to Section B. If ‘Yes’ you may go straight to Section C if you wish.

#### Section B - Overall assessment of risk:

**Q** What is your overall assessment of the risk of injury? **Insignificant/Low/Med/High***

If not ‘Insignificant’ go to Section D. If ‘Insignificant’ the assessment need go no further.

---

#### Section D - Remedial action:

**Q** What remedial steps should be taken, in order of priority?

i ..............................................................................................................................

ii ..............................................................................................................................

iii ..............................................................................................................................

iv ..............................................................................................................................

v ..............................................................................................................................

---

**And finally:**

- complete the SUMMARY above
- compare it with your other manual handling assessments
- decide your priorities for action

- **TAKE ACTION ..........AND CHECK THAT IT HAS THE DESIRED EFFECT**

---

**Note:** This checklist may be copied freely. It will remind you of the main points to think about while you:

- consider the risk of injury from manual handling operations
- identify steps that can remove or reduce the risk
- decide your priorities for action.
### Section B - More detailed assessment, where necessary:

<table>
<thead>
<tr>
<th>Questions to consider:</th>
<th>Level of risk: (Tick as appropriate)</th>
<th>Possible remedial action:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(If the answer to a question is 'Yes' place a tick against it and then consider the level of risk)</td>
<td>Yes Low Med High</td>
<td>(Make rough notes in this column in preparation for completing Section D)</td>
</tr>
</tbody>
</table>

#### The tasks - do they involve:
- holding loads away from trunk?
- twisting?
- stooping?
- reaching upwards?
- large vertical movement?
- long carrying distances?
- strenuous pushing or pulling?
- unpredictable movement of loads?
- repetitive handling?
- insufficient rest or recovery time?
- a work rate imposed by a process?

#### The loads - are they:
- heavy?
- bulky/unwieldy?
- difficult to grasp?
- unstable/unpredictable?
- intrinsically harmful (e.g. sharp/hot)?

#### The working environment - are there:
- constraints on posture?
- poor floors?
- variations in levels?
- hot/cold/humid conditions?
- strong air movements?
- poor lighting conditions?

#### Individual capability - does the job:
- require unusual capability?
- hazard those with a health problem?
- endanger pregnant women?
- call for special information/training?

#### Other factors -
Is movement or posture hindered by clothing or personal protective equipment?

Deciding the level of risk will inevitably call for judgement. The guidelines in Appendix 1 may provide a useful yardstick.

**When you have completed Section B go to Section C.**
H&S 4.8

PROVISION AND USE OF WORK EQUIPMENT REGULATIONS 1998 (PUWER)

These Regulations are aimed at the protection of workers. They are designed to pull together and tidy up the law governing the use of equipment at work. Instead of piecemeal legislation covering particular types of equipment, they:

- place general duties on employers; and
- list minimum requirements for work equipment to deal with specific hazards.

In general, these Regulations make explicit what is already contained in law, or is good practice. There should be little difficulty in complying with the requirements since they do not go significantly beyond previous good practice, although some older equipment may have to be upgraded to meet the minimum requirements.

Work equipment is broadly defined to include everything from a hand tool, through machines of all kinds, to a complete plant installation. Use will include starting, stopping, installing, dismantling, programming, setting, transporting, modifying, maintaining, servicing and cleaning.

The general duties require employers to:

- take into account the working conditions and hazards in the workplace when selecting equipment;
- ensure that the equipment is suitable for the use that will be made of it, and that it is properly maintained. This should include ensuring that sufficient space is available for maintenance staff to have clear and unimpeded access to the equipment, without risk of contact or collision with passers-by while undertaking the work; and
- give adequate information, instruction and training to users.

Specific requirements cover:

- guarding of dangerous parts of machinery;
- maintenance operations;
- danger caused by equipment failure;
- parts and materials at high or very low temperatures;
• control systems and control devices;
• isolation of equipment from power sources;
• stability of equipment;
• lighting; and
• warning and markings.

What should you do?

1. Seek professional advice from your Premises Adviser and/or Department's Safety Officer regarding compliance with the Regulations. In particular, PMs should ensure that:
   • sufficient space and suitable environmental conditions are provided, eg lighting, ventilation, etc as required under the Workplace Regulations;
   • on procurement, and in advance of installation/use, appropriate H & S information on work equipment is obtained from the supplier. Instructions regarding the safe installation and use of work equipment should be complied with;
   • appropriate H & S information, instruction, training and supervision is afforded to staff operating work equipment;
   • where necessary, work equipment is included within the Department's maintenance regime.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:
     ISBN 0 7176 - 0414 4 - Priced Document.
   • Using work equipment safely. IND(G)229
     ISBN 0 7176 1326 7 - Single copies of the leaflet are available free of charge.
PERSONAL PROTECTIVE EQUIPMENT AT WORK REGULATIONS 1992

These Regulations set out sound principles for selecting, providing, maintaining and using personal protective equipment (PPE). They replace over 20 pieces of old legislation dealing with PPE but do not apply where specific Regulations are already in place e.g. COSHH or Noise at Work Regulations. Employers normally need to consider only one set of Regulations for all the PPE requirements covering a particular risk. Departments need to comply with these Regulations whenever staff are likely to encounter a hazard, whether through their own work or work undertaken by others.

Personal protective equipment is defined as all equipment designed to be worn or held to protect against a hazard. It includes protective clothing and equipment such as eye, foot and head protection, gloves, high visibility clothing, safety harnesses, etc.

PPE should be used only as a last resort, where engineering controls and/or safer working methods alone do not reduce the risks sufficiently. In these situations, the employer is required to assess the risks and select appropriate PPE which gives suitable protection: in other words, the PPE must be appropriate for the risks and the working conditions, take into account the needs of the individual worker, fit properly, and give adequate protection.

Under these Regulations, the employer is also required to:

• provide PPE free of charge;
• ensure the equipment is maintained, cleaned and replaced when required;
• provide storage for PPE when it is not being used; and
• make available information, instruction and training in the use of PPE.

Employees must:

• use the PPE provided, in accordance with training and instruction given;
• report any loss or obvious defect in PPE; and
• take all reasonable steps to ensure that their PPE is returned to the appropriate store after use.
Where there is statutory requirement for PPE to be used, this should be indicated by safety signs conforming to the Health and Safety (Safety Signs and Signals) Regulations 1996 ie a blue circle upon a white background. (See H&S 4.18.)

New PPE made or sold in the UK, including imports, must satisfy wide ranging safety requirements based on various levels and classes of protection. There are 3 basic categories of PPE: simple design; non-simple design and complex design. With the exception of simple design PPE, all should carry the CE marking (CE marking indicates that the PPE has been satisfactorily type-examined by an approved body) and be accompanied by appropriate information/instructions applicable to its use. However, PMs should note that these controls do not apply to old or secondhand PPE purchased before the Regulations came into effect.

**What should you do?**

1. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer regarding compliance with the Regulations. In particular, PMs should ensure that where risk assessments indicate PPE is necessary, all such equipment is worn and/or used as required. This duty also extends to operations undertaken by contractors eg window cleaners and safety harnesses.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   - A short guide to the Personal Protective Equipment at Work Regulations 1992. IND(G)174
     ISBN 0 7176 0889 1 - Single copies of the leaflet are available free of charge.
The Control of Substances Hazardous to Health Regulations 1994 (COSHH) provide a legal framework to protect people against health risks from hazardous substances used at work. The Regulations were first introduced in 1988 but were revised in 1994 and amended in 1997.

Apart from asbestos, lead, ionising radiations and mining activities, all of which have their own specific legislative provisions, COSHH applies to all other substances which may be hazardous to health. For the purposes of the Regulations, substances hazardous to health are:

- substances or mixtures of substances classified as dangerous to health under the current Chemicals (Hazard Information and Packaging for Supply) Regulations (CHIP). These can be identified by their warning label (very toxic; toxic; harmful; corrosive or irritant) and the supplier must provide a safety data sheet for them;

- substances with occupational exposure limits. (These are listed in EH40 - a document produced by HSE which lists the maximum exposure limits and occupational standards for use with the COSHH regulations.);

- biological agents (bacteria and other microorganisms), if they are directly connected with the work or if exposure is incidental to it, e.g., Legionella;

- any kind of dust in a substantial concentration; or

- any other substance which has comparable hazards to health, but which for technical reasons may not be specifically covered by CHIP.

Typical examples of products found in Departmental premises which may be considered hazardous include:

- reprographics inks, solvents, cleaners;

- graphics and display adhesives, varnishings and coatings;

- photocopier powder or liquid toner agents (including ozone generated by photocopiers and some laser prints);

- IT equipment cleaning preparations;

- stationery products - marker pens, correction fluids;
• domestic cleaning materials eg bleach; toilet cleaner; window cleaner; furniture and floor polishes;
• paints/varnishes and their solvents;
• biocides, disinfectants, insecticides; and
• certain lubricants, hydraulic fluid.

In order to comply with the requirements of COSHH, Departments must:

1) **Assess the risks to health arising from the work.**

The assessments must be carried out by a Competent Person and determine:

• What is being used?
• How it is being used?
• In what form is it used?
• Who will be affected?
• What is the likely degree and time of exposure?

2) **Decide what precautions are needed.**

3) **Prevent or control exposure.**

If it is reasonably practicable, exposure should be prevented by:

• changing the process or activities so that the hazardous substance is not required or generated; or
• replacing it with a safer alternative; or
• using it in a safe form, eg pellets instead of powder.

If prevention is not reasonably practicable, exposure should be adequately controlled by one or more of the following measures:

• total enclosure of the process;
• partial enclosure and extraction equipment (‘local exhaust ventilation’);
• general ventilation;

• using systems of work and handling procedures which minimise the chances of spills, leaks and other escape of hazardous materials; and

• reducing the number of employees exposed, or the duration of their exposure, but only after considering and, where possible, putting into effect the above measures.

4) Ensure that control measures are used and maintained properly, and that any safety procedures which have been laid down are followed.

5) Monitor exposure of workers to hazardous substances and carry out appropriate health surveillance, where necessary.

6) Ensure that employees are properly informed, trained and supervised.

PMs should ensure that records of COSHH risk assessments are retained, reviewed and updated regularly. The documentation should be clearly dated and communicated to all interested parties.

What should you do?

1. Identify all hazardous substances used in or affecting your Department.

2. Ensure that a Competent Person undertakes all necessary risk assessments and that these are recorded formally.

3. Introduce appropriate systems to ensure that the H&S arrangements are monitored continuously and that, so far as is reasonably practicable, risk assessments are reviewed as and when required.

4. Ensure that information on H&S risks identified, and the control measures implemented to eliminate and/or reduce significant risks to the lowest extent reasonably practicable, is conveyed to Trade Union Safety Representatives/Representatives of Employee Safety; staff and any other interested parties eg Contractors, House Committee; H&S Committee, etc.

5. Request details of COSHH risk assessments from contractors using hazardous substances and ensure that they are following the H&S instructions/procedures. Special attention should be paid to cleaners, caterers, painters/decorators, carpet fitters and water treatment specialists.
6. If the risk reduction measures implemented include engineering controls, e.g., local exhaust ventilation, ensure that the equipment is included in the Department’s maintenance regime.

7. Ensure that appropriate H&S information and training has been provided.

8. If necessary, seek professional advice from your Premises Adviser and/or the Departmental Safety Officer regarding compliance with the Regulations.

9. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

   - The Control of Substances Hazardous to Health Regulations 1994. General COSHH Approved Code of Practice; Carcinogens Approved Code of Practice and Biological Agents Approved Code of Practice. (L5)

   - A step-by-step guide to COSHH assessment HS(G)97

   - COSHH - The new brief guide for employers IND(G)136L
     ISBN 0 7176 1189 2 - Single copies of the leaflet are available free of charge.

   - COSHH and peripatetic workers HS(G)77

   - Occupational Exposure Limits EH40 (Revised Annually)
     ISBN 0 7176 1021 7 - Priced Document.

   - The maintenance, examination and testing of local exhaust ventilation HS(G)54

   - The complete idiot's guide to CHIP 2 IND(G)181D
     ISBN 0 7176 0901 4 - Single copies of the leaflet are available free of charge.

   - Why do I need a safety data sheet? IND(G)182
     ISBN 0 7176 0895 6 - Single copies of the leaflet are available free of charge.

   - Read the label - How to find out if chemicals are dangerous IND(G)186
     ISBN 0 7176 0898 0 - Single copies of the leaflet are available free of charge.
H&S 4.11

PREVENTION OR CONTROL OF LEGIONELLOSIS, INCLUDING LEGIONNAIRES DISEASE

Legionellosis is a term used for infections caused by Legionella pneumophila and other bacteria from the family collectively known as Legionellae. Legionnaires disease is an illness characterised mainly by pneumonia and in about 12% of cases is fatal. The term also includes less serious illnesses, namely Pontiac fever and Lochgoilhead fever, which are not normally fatal or permanently debilitating.

Legionellae are free living organisms widely distributed in natural water sources. The bacteria have been found in rivers, lakes, streams, mud and soil. Under the right conditions they may colonize and multiply in a variety of man-made water systems.

The presence of sediment, sludge, scale, rust, algae and organic material in water systems can act as a source of nutrients for Legionellae and encourage proliferation. Water temperatures in the range 20°C to 47°C also favour growth, the optimum temperature being 37°C, but it is uncommon to find proliferation below 20°C, and the organisms do not survive temperatures over 60°C.

Infection is caused by the inhalation of airborne droplets or particles containing viable Legionella bacteria which are small enough to pass deep into the lungs. There is no evidence that the disease is transmitted by ingestion or from person to person. Most cases have occurred in people aged between 40-70 with males affected more commonly (in the ratio of 3:1) than females. Although previously healthy people can be affected, smokers, alcoholics, diabetics and those with suppressed immune systems, cancer, kidney or chronic respiratory disease are most susceptible.

In order to prevent or control the risk of Legionellosis, precautions must be taken where water is stored or is used in any situation where the conditions may encourage proliferation of the bacteria and where there is a means of creating and transmitting water droplets which may be inhaled. Water systems which may give rise to such a risk include the following:

- water systems with cooling towers or evaporative condensers;
- hot water services with a total volume above 300 litres;
- hot and cold water services irrespective of size where occupants are particularly susceptible (usually health care establishments);
• humidifiers and air washers;
• taps and showers;
• whirlpools and spas; and
• decorative water fountains with a particularly fine spray in an enclosed space.

Where hot water systems have been implicated in Legionellosis outbreaks, the organisms have been found to be disseminated by showers and taps with spray heads. Other outbreaks have been caused by cooling towers and evaporative condensers associated with industrial process cooling and air conditioning. In these systems respirable water droplets are generated when water is sprayed onto a packing material through which there is a counterflow of air. Atomising humidifiers and spray-type washers are among other types of equipment that can potentially present a hazard when the stored water temperature is likely to be in the range 20°C to 47°C. A maintenance regime of periodically cleaning and descaling showers and taps is recommended to prevent such outbreaks.

**Management Responsibilities**

The Health and Safety at Work etc Act 1974 (HSWA) covers any activity that creates a risk to the health, safety and welfare of employees or others. This includes protecting them, so far as is reasonably practicable, from Legionellae. Additionally, the Control of Substances Hazardous to Health Regulations 1994 (COSHH) apply to the risks from “micro-organisms which create a hazard to the health of any person”.

Hence, the legal obligations of Departments are those that apply under HSWA, COSHH and, where applicable, the Notification of Cooling Towers and Evaporative Condensers Regulations 1992. In essence, the main responsibility for compliance rests with:

• employers, where the risk from their undertakings is to their employees.
  In addition, members of the public might be at risk if it is known that the viable bacteria may be carried some distance in the air; or

• the persons who have control of premises in connection with work where the hazard is present from plant or systems in the building. This may be the case, for example, where a building is let to a tenant but the landlord retains responsibility for its maintenance.
The Health and Safety Commission has issued an Approved Code of Practice (ACOP) which gives practical guidance on the requirements of both the HSWA and COSHH Regulations with regard to the hazard/risk of Legionellosis. While the ACOP does not, in itself, have the force of law, it enjoys a special status under the HSWA and failure to comply with its provisions may be taken by HSE as proof that a Department has contravened a legal requirement to which the provision relates. In such cases, it will be open to the Department concerned to satisfy the HSE that it has complied with the requirements in some other way.

In line with the relevant legislation, the ACOP places responsibility on employers and others to:

- identify and assess the source of risk of Legionellosis;
- prepare a scheme for the prevention and control of the risk;
- implement all the necessary precautionary and preventive measures that are identified by the assessment; and
- maintain detailed records of all preventive and precautionary measures and maintenance procedures required and executed.

The ACOP also gives advice on the management and selection, training and competence of personnel, and sets out the responsibilities of designers, manufacturers, importers, suppliers and installers of products and services. However, PMs should note that the legislation specifically requires the ‘statutory duty holder’ to appoint people to take management responsibility for implementing the precautions. Departments should employ ‘Competent Persons’ to carry out the assessment and prepare an appropriate management and maintenance regime for preventing and controlling Legionellosis. If this expertise is not available within Departments, they must employ suitable qualified people from outside to carry out these functions. Furthermore, the ‘statutory duty holder’ and any ‘Competent Persons’ must take all reasonable steps to ensure the competence of all persons who are appointed to carry out the work and who are not under their direct control. Hence, suitable monitoring and control systems must be introduced to ensure that all management and maintenance regimes are strictly followed.

The ACOP is supplemented by HSE document HS(G)70: The Control of Legionellosis including Legionnaires Disease. The document has no legal force but it may be referred to by HSE to demonstrate the standards required by law. It essentially comprises working notes advising on, for example, requirements to be followed and action to be taken by employers in order to comply with the law, and also contains detailed technical data about specific hazards.
While the ACOP provides a basic framework for the prevention or control of Legionellosis, contingency plans should be in place for action in the event of a suspected outbreak. As the ensuing investigation is a specialist task involving Epidemiological studies, sampling and analysis, it is recommended that an appropriate ‘Occupational Health Organisation’ be consulted and an agreed course of action prepared. Such an action plan should aid the investigation while minimising any further risk to employees or others.

Notification of Cooling Towers and Evaporative Condensers Regulations 1992

These Regulations are designed to complement the Health and Safety Commission's approach towards the prevention and control of Legionellosis, as set out in the ACOP and in the HSE guidance document HS(G)70, by requiring the appropriate Local Authority to be notified of property which contains wet cooling towers or evaporative condensers. By compiling details of these properties, Local Authorities will be in a position to assist HSE in identifying a potential source of infection should an outbreak of Legionellosis arise in a particular area.

The Regulations apply in the case of Government Property but it should be noted that the act of registering with the Local Authority does not empower that Authority with right of access, control etc. In the case of Government Property, the Local Authority is merely obliged to pass on details to the HSE who would have the right of access to exercise powers of inspection.

Where Departments have or take control of properties which have wet cooling towers or evaporative condensers, they are required by the Regulations to notify the appropriate Local Authority of the following:

• the address of the premises where a notifiable device is situated;
• the number of notifiable devices at the premises;
• the location of each notifiable device on the premises; and
• the name, address and telephone number of a person who has, to any extent, control of the premises.

In this instance, ‘control’ means the responsibility for the operation and maintenance of the notifiable devices. A model notification form can be found at Annex H&S 4.11/1.
Any subsequent change or addition to the information provided on the form must be notified in writing to the Local Authority within one month after its occurrence. The Local Authority must also be notified in writing, as soon as is reasonably practicable, after a notifiable device ceases to be operational and is no longer intended to remain a notifiable device. Suspension of operation for maintenance purposes or during a seasonable shutdown does not require notification. However, PMS are advised, when taking over responsibility for an existing building with notifiable devices, to check the currency of information previously provided under the Regulations.

**Design Responsibilities**

Designers must discharge their responsibilities by avoiding the risk wherever practicable. For example, when cooling towers are due to be replaced or when new cooling systems are planned, the opportunity should be taken to establish whether it is practicable and economically viable to use dry coolers such as air blast coolers or air cooled condensers. When planning new or refurbished hot water services consideration should be given to minimising storage volumes and de-centralising hot water provision to 'point of use systems'.

Where it is not reasonably practicable to avoid the risk, designers must ensure that the plant or water systems are so designed that they will be safe and without risk to health when in use. Detailed guidance on good design and safe practices for water systems can be found in the HSE guidance document HS(G)70 and the publications listed at the end of this Section.

**Assessment and Monitoring Procedures**

An assessment must be carried out to evaluate the risk of Legionellosis from water systems and to define the necessary control measures. Account should be taken of the potential for aerosol formation, water temperature, and the proximity of people particularly at risk. Specific guidance for risk assessment in hot and cold water services is contained in HSE guidance document HS(G)70. In some cases, the assessment will show that the risk is insignificant and no further action is needed until circumstances change eg modification of the system or significant changes in patterns of use.

Where a serious potential risk of infection is identified, it is important to immediately avoid further use of the water system wherever possible. If this is not reasonably practicable, the risk may be controlled by minimising the release of droplets and by preventing water conditions which permit Legionellae to proliferate. A written scheme should be drawn up detailing measures which need to be taken to minimise the risk. These may include engineering solutions, the use of biocides and other chemical water treatments where it is appropriate and safe to do so, and routine maintenance and monitoring regimes.
Where Departments do not have their own suitably qualified in-house staff, competent specialists should be brought in to undertake the assessment and/or draw up a regime of control measures. Such persons should have such ability, experience, instruction, information, training and resources as to allow them to carry out their tasks competently and safely. In particular, they should be aware of the potential sources of Legionella and the risks they present, the measures to be adopted, including precautions to be taken for the protection of people concerned, and measures to ensure that controls remain effective. They should also be able to demonstrate an understanding of the significance of these measures.

There are a number of commercial water treatment companies who offer consultancy services as part of a package that includes the supply of water treatment chemicals for cooling systems. If such service companies are used in this capacity, it is recommended that they are selected from the list of BSI Quality Assured Registered organisations which cover the manufacture and supply of water treatment chemicals, as well as the preparation of water treatment programmes. It is further recommended that independent expert advice is sought before such treatment regimes are accepted from a service company, or adopted, and at intervals thereafter.

Random sampling solely for Legionellae is not advocated for the following reasons:

• Legionellae are widespread in nature and many water systems are colonised. It is rarely possible to completely irradiate or permanently prevent this colonisation and sampling will often yield positive results;

• a negative result is no guarantee that Legionellae are not present elsewhere in the system; and

• there is no known ‘safe’ level of Legionellae colonisation in the systems, although it is acknowledged that small numbers of the organisms in water are unlikely to create a health risk provided that control measures are in place to limit the opportunity for proliferation and dispersal.

As an integral part of the microbiological control regime, it may be appropriate to sample for Legionella occasionally to check the efficacy of the water treatment regime or to trace a source of infection.
Cooling towers and associated water systems should be subject to routine monitoring of water quality as part of the water treatment programme designed to control scaling, corrosion and fouling. A series of tests should be carried out on the chemical and general microbiological condition of the water, the latter being determined by the use of dip-slides and other approved water sampling methods. The results of testing should be interpreted by a suitably experienced and Competent Person, who will be able to examine the trends and determine when the water treatment programme requires modification, when thorough cleaning and disinfection is required or when further investigation is warranted.

Inadequate management, lack of training and poor communication have all been identified as contributory factors in outbreaks of Legionnaires disease. It is therefore important that one person in authority is appointed with responsibility for overseeing the assessment and implementation of the precautions. Special attention should be paid to lines of communication where several people are involved in the implementation of a system of control. Competent specialists should be appointed where no-one within a department is suitably qualified.

Procedures in the Event of an Outbreak

The nature and source of the causative organism is such that a report of a suspected outbreak may come from the Public Health Laboratory Service (PHLS) and/or the Local Medical Officer for Environmental Health or in Scotland the Community Medical Specialist (Communicable Diseases and Environmental Group). Alternatively, an alert manager/personnel officer may note an unusual rise in absence associated with respiratory-type illness including pneumonia or ‘flu-like’ symptoms at the start of the cooling season (April/May). Whatever the circumstance, expert advice should immediately be sought from a competent occupational H&S organisation.

In addition, as Legionellosis is a reportable disease under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR), HSE will need to be notified and may undertake an investigation of the circumstances. Environmental Health Officers from the Local Authority may also be involved.

Water systems in a suspected building should not be drained or disinfected before the investigators have been provided with the opportunity to take samples. However, PMs should ensure that the following documents are maintained at all departmental property and are made available to facilitate inspection and investigation, if necessary:
• schematic diagrams and layout drawings;
• operation and maintenance manuals;
• details of the maintenance regimes in operation; and
• the results of any inspection or testing carried out.

What should you do?

1. Establish the presence of wet cooling towers/evaporative condensers.

2. Check if wet cooling towers/evaporative condensers are already registered with the Local Authority and if not register them.

3. Ensure that the Premises Adviser has carried out a risk assessment and prepared a scheme for preventing/controlling the risk of Legionellosis.

4. Ensure that the Premises Adviser is implementing and managing established precautions.

5. Ensure that adequate records are kept of the precautions implemented.

6. Introduce an appropriate reporting procedure for cases of Legionella and communicate such to all personnel.

7. Document the procedures to be taken in the event of an outbreak of Legionellosis and distribute such to all interested parties.

8. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

   • The Prevention or Control of Legionellosis (including Legionnaires Disease) Approved Code of Practice (L8) ISBN 0 7176 0732 1 - Priced Document.

   • The Control of Legionellosis including Legionnaires Disease. HS(G)70 ISBN 0 7176 0451 9 - Priced Document.


   • Everyone's Guide to RIDDOR 95. HSE31 ISBN 0 7176 1077 2 - Single copies of the leaflet are available free of charge.
NOTIFICATION OF COOLING TOWERS AND EVAPORATIVE CONDENSERS

Please return the completed form to:

1. Address where cooling tower/evaporative condenser is to be situated:
   Please continue overleaf if necessary
   Name of premises:
   Address:

2. Person(s) in control of premises: Please continue overleaf if necessary
   Name of person:
   Company name:
   Address:
   Tel No:
   NB: This information is required to enable access to be gained at all times to the notifiable device.

3. How many cooling towers or evaporative condensers are at the address shown in box 1?

4. Please give brief location of each piece of equipment being registered at this time - (eg North Works, Main Building, south east corner of 3 floor roof). Please continue overleaf if necessary.

Declarations

Signed by:

Acknowledgement cut-off: for Local Authority use

THE NOTIFICATION OF COOLING TOWERS AND EVAPORATIVE CONDENSERS REGULATIONS 1992

To:
Name of person(s) in control:
Address:

Date of registration:
Number of cooling towers tested:
Reference number in case of query:


ASBESTOS

The health risks associated with asbestos materials are well documented and it is essential that Departments ensure that employees and the public are protected adequately. The risks associated with exposure relate to inhaling asbestos fibres and their subsequent dispersal within the lungs and other parts of the body. This inhalation can cause serious medical conditions including:

- Asbestosis (scarring of the lungs);
- Cancer of the throat and/or bronchial tubes and mesothelioma (a rare cancer of the linings of the lungs and stomach) of the pleural surfaces. However, the effects of exposure may not be apparent for some time and it is not unusual for symptoms to appear over an incubation period of twenty to thirty years.

Asbestos Materials

There are three main types of asbestos:

- Crocidolite (blue asbestos);
- Amosite (brown asbestos); and
- Chrysotile (white asbestos).

Despite their common names the difference cannot be detected by the naked eye. Colour is not an infallible guide to the type of asbestos because changes may be caused by heat, age deterioration, painting and other materials in the composition of the product. The only certain methods of identification are by X-ray diffraction or optical or electronic microscopy examination of samples. Crocidolite and Amosite fibres are particularly dangerous and, in general, policy has been to remove these materials gradually from the Government Estate.

Asbestos is and has been present in offices and buildings of all types for many years. Possessing good thermal and sound insulation properties, it has been used for heat insulation around boilers and pipes and as acoustic insulation to reduce noise transmission in walls and floors. Historically, asbestos has been used for structural fire protection, particularly of steel columns and beams because of its good thermal insulation properties, though asbestos spraying is now prohibited. Asbestos may also be found in decorative surface finishes (such as ‘Artex’) textured coating, ceiling tiles, asbestos cement sheeting, floor tiles and insulation board.
All current evidence supports the view that, provided an existing asbestos-based product or coating is maintained in good condition and that its structure and surface are not disturbed by any chemical deterioration or mechanical damage (e.g., cutting, drilling, hammering, etc), there is minimal risk of releasing the fibres and, therefore, it does not present a danger to building occupants.

**Relevant Legislation**

**The Control of Asbestos at Work Regulations 1987** provide a comprehensive framework for the control of asbestos in the workplace. In brief, the Regulations require the prevention or reduction of exposure to asbestos, assessment of the degree of risks involved in the work, notification to the Enforcing Authority of the work which is liable to be hazardous, the provision of information and training to employees, medical surveillance and the provision of effective control measures.

**The Asbestos (Prohibitions) Regulations 1992** ban the importation, supply and use of all forms of amphibole asbestos, namely Crocidolite, Amosite, fibrous Actinolite, fibrous Anthophyllite, fibrous Tremolite and mixtures containing any of these minerals. In addition, the supply and use of products containing Chrysotile asbestos specified in a schedule to the Regulations is prohibited and the spraying of asbestos is banned.

**The Asbestos (Licensing) Regulations 1983** deal with the requirement of employers or self-employed persons to obtain an HSE licence for any work involving asbestos insulation or asbestos coating, and for employees to receive statutory medical examinations.

**The Special Waste Regulations 1996** require that raw asbestos and asbestos waste must be stored in sealed, labelled containers and properly disposed of.

**Use of Asbestos**

Asbestos may be present in buildings in many forms, usually in combination with other materials. Some of the most common uses are as follows:

- sprayed insulation;
- lagging;
- acoustic tiles;
• insulating boards;
• cement rainwater pipework;
• cement ductwork;
• profiled sheet cladding;
• fire resistant doors;
• old style fire blankets; and
• lining of ductwork passing through fire compartment walls, etc.

Management Responsibilities

PMs' main concern should be to ensure that suitable and sufficient risk assessments have been undertaken to determine whether asbestos is present in their Departmental property. If in any doubt, samples of suspected materials can be sent to a laboratory accredited for asbestos analysis by the National Accreditation Service (NAMAS). Sampling for identification is likely to involve exposure to asbestos and should be carried out by trained professional operators wearing approved personal protective equipment. All persons not involved in the sampling should be excluded from the area and, if applicable, warning notices placed at the perimeter. Where asbestos is identified, the assessment should record its location, type, quantity and condition. The asbestos material should be marked with appropriate signs or labels and the assessment findings documented in a permanent maintenance file and/or Asbestos Register for the building concerned. Regular checks should be conducted to ensure that any such materials remain in a safe condition and, where appropriate, remedial action, either in the form of preventive maintenance by painting, sealing, or other suitable approved measures, or by removing the product in strict accordance with the procedures prescribed in the Approved Code of Practice (ACOP) to the Regulations, is effected.

The presence of undisturbed and undamaged asbestos-based materials does not of itself constitute a health hazard. Removing undamaged material may actually create a greater hazard than leaving it in place. However, in practice, because of the risk of damage and deterioration, the opportunity is often taken to remove asbestos in the course of other works, under controlled conditions.
The lack of any identified asbestos in a building should not be construed as indicating that none is present and that there is, therefore, no risk. The possibility that it is incorporated within other building materials or hidden from view should be considered when planning building works. In particular, details about asbestos should be included in all pre-contract briefings to any contractor carrying out work in the vicinity of asbestos products to ensure the asbestos is not accidentally damaged.

If asbestos is present in a building and its condition constitutes a significant health risk, the ACOP to the Regulations offers guidance on what and how work should be done, but it is recommended that, in all cases, PMs commission the services of suitable specialist organisations or consultants through their Premises Adviser.

Compliance with the ACOP will generally require a detailed written assessment of the proposed work and its risks and a detailed plan of work, including the methods to be used in handling the asbestos, the measures to protect those carrying out the work and the measures to protect other people in the vicinity.

For most work with asbestos, particularly removal, all contractors must be competent and licensed by the HSE. The precautions required during asbestos removal are extensive. When seeking quotations for this type of work, PMs are advised to find out as much information as possible about the contractors, particularly details of any similar work they have undertaken. Properly licensed operators will be keen to produce proof of proficiency, whereas the less reputable will have more difficulty. In cases of doubt, advice should be sought from the Premises Adviser. Decontamination and cleaning-up following the engagement of an incompetent contractor is expensive and very time consuming.

Formal notices detailing any asbestos removal need to be issued to the HSE by those undertaking the work, and the HSE reserve the right to inspect the property and working area at any time.

The duty of those carrying out work with asbestos will involve compliance with a detailed Code of Practice and Guidance Notes, the provision of exhaust systems, respiratory equipment, protective clothing and also demarcation and sealing off of certain areas. Where work is carried out by an approved contractor this responsibility is shared between the contractor and the client.
The precautions to be taken where work on asbestos is carried out will depend upon the nature and extent of the work. The control limits referred to above are likely to be exceeded when major work is undertaken. But staff and contractors will be protected due to compliance with the approved codes of practice. For all jobs, staff should be removed from the immediate vicinity of the work. HSE advice indicates that expected levels of dust from operations such as drilling asbestos cement panels are in the order of 1-5 fibres per millilitre. Operatives can be adequately protected against these levels by wearing respirators and overalls. These respirators and overalls will be disposed of in sealed bags, together with any other asbestos. Dust will be removed by high efficiency filters.

It follows that to ensure that there is no significant risk to staff, asbestos must be in good firm condition and any work on it carried out in conformity with the Control of Asbestos at Work Regulations 1987, HSE Approved Codes of Practice and relevant Guidance Notes.

On completion of the asbestos removal, but before the contractor leaves the site, it is recommended that an independent air analysis (clearance test) is arranged by a NAMAS accredited laboratory. This will confirm that there is no asbestos dust remaining in the air and provides evidence that the area is safe to re-enter.

In brief, before any work with asbestos may take place legally, it is necessary that the type of asbestos involved in the work has been identified by analysis, unless it is assumed that it is Crocidolite or Asbestos and, therefore, treated accordingly. Having identified the type of asbestos, a specialist contractor will make a written assessment of the likely level of exposure. The purpose of this risk assessment is to enable a correct decision to be made about the measures necessary to control exposure to asbestos. This will ensure that all factors pertinent to the work have been considered and that an informed and correct judgement has been reached about the risks and steps which need to be taken to achieve and maintain financial control.

As a minimum, the risk should cover:

- the type of work;
- the type of asbestos;
- details of potential fibre release;
- whether they will exceed the control and action levels;
• whether anyone other than the contractors will be exposed;
• results from air monitoring;
• steps to be taken to control the release of asbestos to the environment;
• procedures for the provision, storage and disposal of respiratory protective equipment and personal protective equipment;
• procedures for removing waste; and
• procedures for dealing with emergencies.

If there is any significant change to the work, a written supplementary assessment should be given, which should include the results of analyses and details of any special measures which need to be taken.

Minor Damage and/or Asbestos Incidents

If asbestos insulating board, sheeting or tiles suffer slight surface damage by occupants or those carrying out work, the surface can be sealed quickly with paint, preferably from a spray can, in advance of a more permanent repair. However, where asbestos surfaces have been damaged and there is a possibility of accidental exposure and inhalation of asbestos dust, PMs should immediately implement all necessary measures to:

• eliminate the risk of further exposure by:
  - restricting access to the area concerned, or
  - evacuating the building if the dust could spread into other areas by a ventilation system or by other means;

• appoint a Competent Person to establish:
  - the nature of the disturbance that has occurred;
  - the condition of the material that has been disturbed;
  - the type and quantity of asbestos if not previously recorded;
  - the levels of exposure that may have occurred by means of approved sampling methods;
  - the measures necessary to reduce any exposure levels to an approved clearance level;
  - the measures necessary to render the asbestos safe including any ongoing monitoring; and
• inform everyone who may be concerned about possible exposure of the procedures being implemented and of any risks and of the necessary precautions being taken.

If the investigation confirms that staff have been, or are thought to have been, exposed to a concentration level of asbestos level above 0.01 fibres per millilitre, PMs should inform their Departmental Occupational Health Advisers who will arrange for the staff to be interviewed and for any necessary follow-up action. PMs should also keep the Trade Union Safety Representatives fully informed and should supply a list of names to the Personnel Sections of the Department of those staff who have been exposed or are thought to have been exposed to levels in excess of 0.01 fibres per millilitre. Personnel Sections should record these details on the individual's personal files and on the medical files where Departmental Occupational Health Advisers have been involved. Each member of staff for whom a record has been kept should be told where it is kept and given a copy which they can pass to their GP if they wish to do so.

**Control of Exposure**

The Regulations require that all steps must be taken to prevent or reduce to the lowest level reasonably practicable, the risk of exposure to asbestos. There is a general requirement to prevent the spread of contamination from the area where the works take place and to ensure that the work area is kept clean.

The situation may arise in which staff, concerned about presence of asbestos in their building, may ask for air samples to be taken. The PM should obtain professional advice from their Departmental Safety Officer, professional health and safety advisers or Premises Adviser.

**Designated Areas**

This is an addition to the Regulations and requires areas to be designated as an 'Asbestos Area', a 'Respirator Zone' or both. These areas must be clearly demarcated and only persons required to work in the area should enter or remain there.
Disposal

Asbestos is a special waste and must be disposed of in accordance with the Special Waste Regulations 1996. Therefore, before starting any work involving the removal of asbestos, PMs should ensure that proper arrangements have been made for any proposed disposal and that relevant documentation has been submitted to the local authority. As the representative of the owner of the building, under the Regulations, PMs will be the originators of the waste and responsible for full compliance with the legislation. (A competent licensed contractor will undertake this task if required to do so by the contract documentation.)

Inspections and Follow-Up Procedures

It is recommended that sprayed asbestos insulation and asbestos lagging should be inspected at least annually or more frequently where buildings or plant are susceptible to movement or physical damage. Other asbestos-based materials known to be present should be inspected at intervals not exceeding two years. The outcome of these inspections should be recorded and entered in the Asbestos Register. This information will be given to the PM, who should make it available to the local Safety Representatives or Trade Union representatives.

Where sprayed asbestos insulation or asbestos lagging are found to be intact, not friable and adhering firmly, no further action is necessary. Where there is a small amount of damage or deterioration, it should be repaired and sealed, thus causing minimum disturbance. If the extent of damage or deterioration is such that it cannot be repaired or sealed, a dust count may be required for staff assurance purposes to show there is no risk. Removal by an approved contractor is appropriate. Procedures in respect of other asbestos-based materials are similar. Damaged material is disposed of as toxic waste.

PMs must, when employing a contractor to carry out any other permitted minor work, pass details of the known asbestos in the building to the contractor before work begins. Safety Representatives and local Trade Union representatives should obtain written confirmation from a contractor that the contractor has been informed of the location of known asbestos and that work will stop if unidentified materials are encountered. If in the course of other minor work, the presence of asbestos is identified or suspected, the PM needs to be notified immediately. All work must cease immediately and arrangements made for investigations to be undertaken by qualified experts who will determine the presence or otherwise of asbestos.
Asbestos Registers

It is good practice to maintain registers of asbestos listing, building by building, the location, use, type and other details of sprayed asbestos insulation and asbestos lagging and other asbestos-based materials known to be present. **PMs** should have inherited such registers; if not, they should commission asbestos surveys. Departments may wish to consider using or adapting the sample Register sheet attached at Annex H&S 4.12/1.

The information from the asbestos register should be available to the local Safety Representatives or other Trade Union representatives, and displayed by agreement for staff to see. **PMs** may wish to fix warning notices wherever sprayed asbestos insulation or lagging are located and at the access of the roof spaces, ducts, voids, etc containing asbestos-based materials.

No guarantee can be given that all asbestos in the Department’s property has been identified and an investigation by an approved laboratory should be arranged in a property whenever the presence of asbestos is suspected. If the presence of asbestos is confirmed, local Management Safety Representatives and Trade Union representatives should be informed.

Communication

Asbestos is an emotive issue which can lead to difficult management/trade union situations. Whilst it is for individual Departments to decide the general policy on this matter, **PMs** are advised to keep their local Trade Union Safety Representatives and/or Representatives of Employee Safety informed of any asbestos-related works. Furthermore, if the works are likely to affect other occupants of the building, information on such should be forwarded to the management concerned via, if possible, the House Committees. In general, the commissioning of specialist advisers will facilitate this communication exercise.

What should you do?

1. Ensure, so far as is reasonably practical, that all asbestos within your Department’s property is identified and appropriate records are maintained indicating the location, type and condition of the material.

2. Ensure that a Competent Person undertakes a suitable and sufficient risk assessment and that this is recorded formally.

3. Introduce appropriate systems to ensure that the H&S arrangements are monitored continuously and that, so far as is reasonably practicable, risk assessments are reviewed as and when required.
4. Ensure that information on H&S risks identified, and the control measures implemented to eliminate and/or reduce significant risks to the lowest extent reasonably practical, is conveyed to the Trade Union Safety Representatives/Representatives of Employee Safety; staff and any other interested parties, eg contractors, House Committee, H&S Committee.

5. Implement an appropriate system to ensure that all works involving asbestos based products are carried out in accordance with relevant statutory provisions.

6. In order to avoid accidental exposure, inform all contractors carrying out works in the Department’s premises of the existence and location of asbestos materials in order to avoid any accidental exposure. (It is good practice to keep the Asbestos Register at a point where it is accessible to everyone, normally in the reception area (where the contractors sign in), or with the PM responsible for overseeing building works.)

7. If necessary, seek professional advice from your Premises Adviser and/or the Departmental Safety Officer.

8. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

• A Guide to the Asbestos (Licensing) Regulations 1983 (L11)
  ISBN 0 11 885684 7 - priced document

• The Control of Asbestos at Work Regulations 1987 Approved Code of Practice, Second Edition (L27)
  ISBN 0 11 882037 0 - priced document

• Work with Asbestos Insulation, Asbestos Coating and Asbestos Insulating Board (L28)
  ISBN 0 11 882038 9 - priced document

• Asbestos: Exposure Limits and Measurement of Airborne Dust Concentrations (EH10)
  ISBN 0 7176 0907 3 - priced document

• Working with Asbestos Cement and Asbestos Insulating Board (EH71)
  ISBN 0 7176 1247 3 - priced document

• Managing Asbestos in Workplace Buildings IND(G)223
  ISBN 0 7176 1179 5 - single copies of the leaflet are available free of charge.
HAZARDOUS MATERIALS REGISTER

IDENTIFIED HAZARDOUS MATERIALS SHOULD BE CHECKED ANNUALLY TO ESTABLISH THEIR CONDITION AND ENSURE THAT THEY HAVE NOT CHANGED/DETERIORATED

<table>
<thead>
<tr>
<th>DATE</th>
<th>MATERIAL FOUND</th>
<th>LOCATION</th>
<th>DETAILS: CONDITION ETC.</th>
<th>DATE OF LAST REVIEW/INSPECTION</th>
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CONTRACTORS PLEASE NOTE: THE ABOVE HAZARDOUS MATERIALS ARE THOSE WHICH HAVE BEEN IDENTIFIED IN THE BUILDING. IF YOU SUSPECT ANY FURTHER TRACES PLEASE INFORM THE ACCOMMODATION OFFICER.
**DECLARATION ACKNOWLEDGING HAZARDOUS MATERIALS REGISTER**

TO BE BROUGHT TO THE ATTENTION OF ALL CONTRACTORS, CONSULTANTS OR DEPARTMENTAL REPRESENTATIVES ETC. THAT ARE PLANNING OR UNDERTAKING WORKS WITHIN THIS BUILDING

<table>
<thead>
<tr>
<th>DATE</th>
<th>NAME OF VISITOR</th>
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**H&S 4.13**

**RADON**

Radon, a naturally occurring radioactive gas, can collect in enclosed spaces. Evidence has shown that geographical areas with a higher level of radon presence (most locations have insignificant levels) are Cornwall and Devon, the Highland area of Scotland and some parts of Derbyshire, Northamptonshire and Somerset. Furthermore, in areas where there is a prevalence of disused mine workings, there is likely to be a higher radon emission to the ground surface.

Where reasonable ventilation is present, harmless dilution of the gas occurs. It is only where accumulation occurs and ventilation is insufficient that a problem may arise and lead to potentially harmful exposure levels. (Radon exposure can increase the risk of lung cancer.)

Radon seeps up from the ground and can enter buildings through cracks in the floors and gaps around service pipework, drains, etc. Building construction is therefore an important factor. A basement or ground floor workplace with limited ventilation and in a higher risk geographical area could give rise to more significant radon levels. PMs need to be aware that premises in higher risk areas must have suitable and sufficient ventilation to overcome potential radon accumulation.

**The Ionising Radiations Regulations 1985** require employers to measure, monitor and take action where radon is present above a defined level. Also, under the Health and Safety at Work Act 1974 an employer is responsible for the health, safety and welfare of employees and others affected by work activities and work places.

The HSE can provide expert assistance on verifying radon levels and on deciding on any action required thereafter (possibly inexpensive remedial work to the building). Further information may be obtained from:

- Local HSE Area Office;
  
  HSE Leaflet IN D(G)123L, obtainable via HSE books, provides general guidance on Radon;

- National Radiological Protection Board, Chiltern, Didcot, O xon O X11 0RQ, Tel: 01235 831600;

- BRE Limited, Garston, Watford W D 2 7JR, Tel: 01923 894040.
**What should you do?**

1. Establish whether your premises are in high risk areas.

2. Establish if the premises are poorly ventilated (ie basement/ground floor).

3. Seek professional advice from your Premises Adviser and/or Department's Safety Officer on radon testing and ensure he/she liaises with HSE for expert advice and assistance.

4. Ensure that records are kept of any testing procedures and follow-up actions.

5. Ensure that information on H&S risks identified, and the control measures implemented to eliminate and/or reduce significant risks to the lowest extent reasonably practicable, is conveyed to Trade Union Safety Representatives/Representatives of Employee Safety; staff and any other interested parties, eg contractors, House Committee, H&S Committee.

6. If the risk reduction measures implemented include engineering controls, eg local exhaust ventilation, ensure that the equipment is included in the Department's maintenance regime.
The Electricity at Work Regulations 1989 essentially require employers to assess work activities which utilise electricity, or may be affected by it, i.e., just about everything, and to define all foreseeable risks with regard to the suitability, design, construction and safety of electrical systems and electrically powered equipment. The Regulations include risks associated with the normal use of the equipment and also its commissioning, testing, and maintenance. Furthermore, the suitability and location of the equipment and its connection, i.e., plug and socket arrangements, are also covered. The implications of the Regulations are therefore extremely wide-ranging.

Electrical equipment is defined as being anything from a high voltage overhead power line to a battery-operated hand lamp. There are no voltage limitations. While extra low voltage equipment may not entail risk of injury to a person from electric shock, it can still generate a spark capable of igniting a flammable substance, gas, or liquid, thereby causing injury from burns or explosion. The criterion is whether any danger may arise from the use of an electrical system.

The Regulations require a Duty Holder to implement measures that will ensure, so far as is reasonably practicable, that any electrical system is constructed and maintained in a condition that will prevent danger. The Duty Holder must also ensure that any work carried out upon an electrical system will, as far as is reasonably practicable, be carried out in such a manner as not to give rise to danger. Hence, wherever possible, work on electrical systems must be carried out in a ‘dead’ situation, i.e., where systems have been isolated by complete disconnection from the power source. Where complete disconnection is not possible, isolation switches should be locked off to prevent inadvertent reconnection. Work on or near live conductors is only permitted when three conditions are satisfied:

1. It is unreasonable in all circumstances for the conductor to be dead; and
2. It is reasonable in all circumstances for the work to be carried out on or near the live conductor; and
3. Suitable precautions are taken to prevent injury.

Where such work is carried on only Authorised Persons should be allowed in the vicinity and only Competent Persons may actually carry out the work, and then only within strictly defined limits. It is essential that all work related to the design, selection, erection, inspection, and testing of electrical installations is carried out in accordance with the Regulations and the specific provisions of the current edition of the Institution of Electrical Engineers Regulations for Electrical Installations (IEE Wiring Regulations).
Most recent electrical installations, having been installed in accordance with up to date standards and practices, are reliable and safe but, for this to continue, each installation must be regularly and thoroughly inspected, tested and maintained.

**PMs** normally rely on competent electrical contractors to carry out the inspection, testing and maintenance of internal power distribution systems in a safe and thorough manner but they should, as far as possible, satisfy themselves at the commencement of the work that the contractor's employees are indeed doing so. A written specification defining the scope of the inspection, testing, maintenance activity and nature of documentation required is vital.

To minimise their Department's liability for electrical safety, **PMs** should require all contractors' employees to use their own tools, test instruments and access equipment (where necessary), as their employers then have the responsibility for ensuring that they are correctly used, kept in good, safe working order, and regularly inspected and tested. However, where electrical staff are directly employed, such safety obligations rest with the Departments themselves.

Where mains-powered portable electrical tools are used outdoors (eg on a facade or grounds maintenance) or in plant rooms etc, there is an increased risk of electric shock should the equipment develop an electrical fault or the cable insulation becomes damaged, particularly where the operator may be standing on wet or damp ground or is touching earthed metalwork. In such circumstances, it is recommended that an additional safety device called a ‘residual current device’ (RCD) (previously known as an earth leakage circuit breaker) is used as a precaution against injury from electric shock. In more recent electrical installations, such a device may already be incorporated into circuits feeding socket outlets or into the socket outlets themselves but, more commonly, plug-in units need to be used. It is the responsibility of the employer to provide these for use by employees where appropriate.

Alternatively, it has been the practice in Government Buildings to install safety isolating transformers in plant rooms and the like to provide for both 110 volt portable tools and 50 volt hand lamps. Other means of improving safety in adverse environments are also available, such as the use of battery operated tools. Where appropriate, it is the responsibility of employers to provide these alternatives.
In order for the process of inspection, testing and maintenance of electrical installations not to cause danger either to those carrying out the work or to people in the building, it is important that documented safe working rules and procedures are observed, including:

- the use of appropriate safety signs warning of the danger at positions where people may approach an electrical installation or part thereof which is live and may become dangerous during the course of the inspection, testing and maintenance process. (The Health and Safety (Safety Signs and Signals) Regulations 1996 apply - see H&S 4.18).

- where necessary, the issue of permits to work or test; and

- where necessary, the use of safety locks on equipment, rooms and areas to prevent their operation.

In addition, the Workplace (Health, Safety and Welfare) Regulations 1992 require that every workplace shall have suitable and sufficient lighting including, where necessary, emergency lighting. Therefore, not only should the lighting system and the electrical installation to which it is connected be well maintained but also there should be adequate artificial and/or natural lighting to permit the inspection, testing and maintenance of the lighting and electrical installation to be carried out safely.

Adequate standards and frequency of inspection, testing and maintenance are essential for safety, for the satisfactory operation of the electrical installation and associated plant and equipment, and for compliance with statutory provisions. Also, good records of adequate maintenance will serve as a defence in the event of a severe accident due to causes of an electrical nature. Furthermore, an essential part of the maintenance process is that any defects revealed during the inspection and testing should be isolated and/or rectified as soon as possible. Minor defects can be addressed during the inspection and testing but major defects may need to be rectified under separate contract arrangements.

**Risk Assessment**

Although risk assessment procedures are not a detailed requirement of the Electricity at Work Regulations 1989, the assessments which are carried out under the Management of Health and Safety at Work Regulations 1992 should investigate and report on the level of compliance by Departments with the requirements of relevant statutory provisions.
The risk assessment should establish that the electrical system in a Department meets the requirements of this legislation and that the system is constructed to an approved standard and maintained in accordance with a programme that will, so far as is reasonably practicable, prevent danger.

The risk assessment should verify this by referring to inspection certificates, prepared by competent people, confirming that the system has been tested in an approved manner and that it met the recognised technical criteria for safe operation on a stated date. The certificate should define those parts of the system to which it applies, and be dated and signed by a Competent Person. The assessment should take note of any recommendations made by that Competent Person for future remedial action, including the date for re-testing.

Whilst the Regulations impose a duty to maintain an electrical system, that duty exists only where danger would result from a failure to carry out adequate maintenance. The maintenance programme for any system should therefore be appropriate to the level of risk that the system represents, and should be subject to continuous monitoring and revision. Since the introduction of the Regulations, there has been considerable debate and controversy about the inspection and testing of electrical systems, particularly portable appliances. The controversy centres on the frequency of these inspections and tests, and on which systems, equipment or appliances represent the greatest risk and which require the higher levels of maintenance. For example, cables which are buried in conduits beneath the plaster surface of a wall will normally require very little maintenance if they have been well designed and constructed and used only within their designated electrical capacity and are not subjected to any external forces. Because they are shielded and protected from human contact and interference the extent to which they could cause danger would be largely dependent upon their continued ability to carry their designated electrical load, and the integrity of the conductors and the insulation material. In this case it might be reasonable to confine maintenance to carrying out instrument tests on a fixed interval basis, perhaps every five years as recommended by various electrical professional bodies. The same criteria might reasonably be extended to the entire permanent electrical installation of a Department’s building. However, the level of maintenance that is applied must be determined by the Duty Holder on the basis of advice from competent people and the frequency of any inspection and testing programme adjusted in accordance with their recommendations.
Portable Electrical Appliances

Most office buildings today are provided with a range of plug-in mains powered electrical appliances similar to those we use in our homes, such as kettles, heaters, vacuum cleaners, personal computers etc. Such items of equipment are commonly referred to as portable electrical appliances and include any item which is connected to the mains supply by means of a plug and socket, and flexible cable. Hence, this section covers not only those appliances that are truly portable and likely to be moved while connected to the supply (such as power tools), but also semi-portable appliances, such as desk top personal computers, and stationary appliances (ie without carrying handles and weighing over 18kg), such as photocopiers.

Statistics gathered by HSE indicate that the majority of reported electrical accidents involve the normal 240 volt main supply and that each year about a quarter of these arise from the use of portable electrical appliances which are inadequately maintained, defective, unsuitable for the purpose intended, or used in unsuitable conditions. Many are caused by faulty flexible cables, extension leads or plugs and sockets. The majority of these accidents are caused by electric shock, but many others result in burns from arcing or fire and there are approximately five fatalities involving portable appliances each year.

A little knowledge is often sufficient to make electrical equipment function, but a much higher level of knowledge and experience is usually needed to ensure safety. The continued safe and satisfactory operation of portable appliances is dependent not only upon correct use, but also upon a high standard of inspection, testing and maintenance being carried out at regular intervals by a Competent Person. In this context, a Competent Person is a person having the skill, experience and sufficient knowledge of the types of appliance to be inspected, tested and maintained to ensure that no danger occurs to any person or property.

In order to minimise the risk of electrical accidents due to faulty portable appliances, and to enable compliance with the Regulations to be demonstrated, it is recommended that the following arrangements be made:

• all appliances (including detachable supply cables and extension leads) provided for the use of staff should be identified by a serial number or other unique reference, and be recorded in a register or appropriate computer-based system;
• a Competent Person should indicate in the register/system how often each appliance is to be subjected to routine inspection, testing and maintenance, and a Competent Person should be appointed to inspect, test and maintain each appliance on or before its due date;

• each appliance should also be labelled or otherwise marked so that it is clear to the user when its next inspection, test and maintenance are due;

• for each appliance there should be a job card (or equivalent) which states the details of the inspection, testing and maintenance to be carried out, and a dated record should be kept of the inspection, test and maintenance/repair work done on each occasion, signed by the Competent Person; and

• effective means (such as securely fixed labels) should be employed to prevent appliances found to be faulty from being used until they have been satisfactorily repaired and re-tested.

The contents of the records referred to in this section should be readily available and with one focal point (usually the PM) in case they are required to be officially inspected.

To guard against the potential legal and financial consequences, those primarily responsible for electrical safety in premises are advised to issue clear written instructions to all the occupants for whom they are responsible, to the effect that no unauthorised (personal) plug-in electrical equipment is to be used in the premises. Personal appliances brought to work have often been discarded from the home environment for one reason or another, and they should therefore be considered to be potentially defective. Instructions should also be issued to the effect that staff, except those specifically authorised, are not to fit electric plugs, replace fuses or even replace luminaires in the workplace.

To permit portable appliances to be connected and disconnected safely, easily and conveniently, access to socket outlets should not be obstructed by furniture, filing cabinets or the appliance itself.
Maintenance, Inspection and Testing of Portable Appliances

The maintenance of portable electrical equipment is more variable than for fixed installations and is dependent upon the circumstances of its use. For example, an electric drill used out of doors on a building site is subject to extremes of temperature, moisture, impact, abrasion and general user abuse, and it is hand held. Its potential as a source of danger to the user is very high and such conditions demand a high level of maintenance. Most electrical appliances found in the Government Estate, and the way in which they are used, represent a lower risk rating than the example quoted above, but there are still discernable variations. A vacuum cleaner and its cable lead are subject to considerably more physical wear and tear than a refrigerator which may spend its entire life in a static position. Similarly computer and other business machinery cables will be subject to fewer adverse forces in a well designed desk cable management system than when trailed loosely across a floor.

PMs normally rely on competent electrical contractors to carry out the inspection, testing and maintenance of portable appliances in a safe and thorough manner but they should, as far as possible, satisfy themselves at the commencement of the work that the contractor's employees are indeed doing so (as per the requirements for fixed electrical installations). However, even if an annual or fixed monthly instrument test indicates a satisfactory condition, something can occur ten minutes later which may make that system lethal and render the test results meaningless. The continued safety of an electrical installation or electrical appliances, therefore, depends on much more than just fixed interval inspection and testing and PMs should not rely on this activity alone for any electrical systems or equipment.

HSE recommends a three-tier maintenance system, consisting of user checks, formal visual inspection and combined inspection and testing:

1. User Checks

Regular user checks are a very good first line of defence, and can be incorporated into a formal maintenance regime without too much difficulty. Users can check that:

- cable sheaths are not damaged, by cuts or abrasions;
- plugs and connectors are sound, are not broken or cracked, and have no bent pins;
- there are no inadequate cable joints, and the sheath of the cable is effectively secured where it enters any plug connector or any equipment;
• the equipment is suitable for the prevailing environmental conditions and not being subjected to severe external forces, water, heat, impact, abrasion, vibration or any other adverse condition;

• there is no visible sign of damage to the equipment and its casing and that these are secure, and there are no loose parts or screws;

• there is no evidence of overheating, burn marks or discolouration (many appliances emit heat but unless they are heating appliances, they should be no more than warm to the touch) and users should check that any ventilation inlets or outlets are not obscured in any way and that there is reasonable free airflow around equipment; and

• the equipment is used exactly in accordance with the manufacturers’ instructions at all times.

The user check system should include keeping records which show that basic inspections are being carried out and should allow users to report any defects to management and initiate further remedial action by Competent Persons.

2. Formal Visual Inspections

Formal visual inspections are carried out by Competent Persons who can be members of staff who have been trained appropriately and who have been nominated to carry out that inspection. They should be given sufficiently detailed guidance on what to look for and what is acceptable, and what to do when faults are found or when unauthorised equipment is discovered. They must also operate within the limits of their knowledge and experience.

The formal inspections include all the visual checks carried out by users and may, in addition, include removing plug top covers to ensure correct termination and earthing, clamping of the cable sheaths and fuse, and that there is no other visible indication of damage or overheating. The nominated people must not remove covers from equipment or take any equipment apart. Where defects are identified they should remove the equipment from use and arrange for repairs.

The inspection should be carried out at pre-determined intervals depending on the type of equipment, its use, and the circumstances in which it is used. The results of these inspections should be used to help select the most appropriate equipment for the work and to determine the frequency of ongoing inspection and testing. They should also indicate where equipment is misused.
3. Combined Inspection and Testing

Combined inspection and testing is carried out by a Competent Person trained to use test instruments and to interpret the readings of those instruments.

These inspections and tests will indicate faults which cannot be detected by visual inspection alone. Readings from a test instrument can be compared with previously recorded test results or against other known criteria and can be a sound indicator of the physical deterioration of that equipment. They can be used as a benchmark for a revised test interval or for replacement.

Whilst the Regulations require all electrical systems to be effectively maintained to prevent danger, the tests must also be appropriate to the equipment. The electrical tests which are normally applied to mains powered portable appliances are usually unsuitable for use with IT and other electronic business equipment because the high currents and voltages involved could cause serious damage. Special portable appliance testers for IT and other electronic equipment are now available, but the manufacturers recommendations should be obtained before any such electrical tests are performed. However, Duty Holders should note that computer 240 volt supply leads can be included in an inspection and testing regime as detailed above provided that they are disconnected from the equipment for the duration of any tests. These may be the very items which are subjected to the worst wear and tear and require a higher standard of maintenance than the equipment itself.

Where a portable appliance (such as a photocopier) is the subject of a hire agreement, and the responsibility for the maintenance and repair of that appliance is retained by the provider, that provider should also be made responsible for carrying out the necessary safety inspections and tests at appropriate intervals, and for providing a written report of the results for local record purposes. The appliance should still be visually inspected by the users and other responsible persons at appropriate intervals, and any apparent defects should be recorded and reported to the provider in writing without delay.

The following table outlines HSE Guidance for checking, inspecting and testing frequencies of certain categories of appliance in office situations.
## Portable Appliances in Offices and Other Low-Risk Environments

**Suggested Maintenance Action and Frequency**

<table>
<thead>
<tr>
<th>Equipment/ environment</th>
<th>User Checks</th>
<th>Formal visual inspection</th>
<th>Combined inspection and testing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Battery-operated: (less than 20 volts)</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Extra low voltage: (less than 50 volts AC) eg telephone equipment, low voltage desk lights</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Information technology: eg desktop computers, VDU screens</td>
<td>No</td>
<td>Yes, 2-4 years</td>
<td>No if double insulated, otherwise up to 5 years.</td>
</tr>
<tr>
<td>Photocopiers, fax machines: NOT hand-held. Rarely moved</td>
<td>No</td>
<td>Yes, 2-4 years</td>
<td>No if double insulated, otherwise up to 5 years.</td>
</tr>
<tr>
<td>Double insulated equipment: NOT hand-held. Moved occasionally, eg fans, table lamps, slide projectors</td>
<td>No</td>
<td>Yes, 2-4 years</td>
<td>No</td>
</tr>
<tr>
<td>Double insulated equipment: HAND-HELD eg some floor cleaners</td>
<td>Yes</td>
<td>Yes, 6 months-1 year</td>
<td>No</td>
</tr>
<tr>
<td>Earthed equipment (Class 1): eg electric kettles, some floor cleaners</td>
<td>Yes</td>
<td>Yes, 6 months-1 year</td>
<td>Yes, 1-2 years</td>
</tr>
<tr>
<td>Cable (leads) and plugs connected to the above Extension leads (mains voltage)</td>
<td>Yes</td>
<td>Yes, 6 months-4 years depending on the type of equipment it is connected to.</td>
<td>Yes, 1-5 years depending on the type of equipment it is connected to.</td>
</tr>
</tbody>
</table>
**NB:** To ensure safety, the inspection and testing of portable appliances must be accompanied by the inspection testing at appropriate intervals of the fixed electrical installation (ie the power supply up to the socket outlet). Otherwise, for example, a Class 1 portable appliance (which relies on effective earthing for safety) would be potentially dangerous if it were to be connected to a socket outlet in which the earth connection was faulty.

4. Records/Documentation

The Electricity at Work Regulations 1989 do not specifically require a Duty Holder to keep maintenance logs for electrical installations or portable appliances, but the Guidance to the Regulations recommends it. A Duty Holder may be asked to provide documented evidence that an appropriate maintenance regime exists, and in the event of an incident, to provide some form of formal evidence that it has been applied in practice.

In respect of portable appliances, records of maintenance, including test results, preferably kept throughout the working life of the equipment, will enable the condition of portable appliances and the effectiveness of maintenance policies to be monitored. Hence, Duty Holders should try to ensure that the following information is obtained, kept up to date and preserved:

- **a register containing full details of:**
  - all portable appliances in the premises for which they are responsible, (including extension leads), identified by their serial number or other means;
  - date of acquisition;
  - location of each appliance in the premises; and
  - summary of the result of each periodic inspection and test.

- **maintenance instructions for each type of appliance including:**
  - any precautions necessary for ensuring health and safety;
  - names and addresses of the suppliers/manufacturers;
  - the manufacturers recommended maintenance procedures and frequencies.
• a log book for each appliance containing:
  - certificate of initial inspection and test (if provided by the supplier/manufacturer);
  - detailed results of periodic inspections and tests; and
  - details of any necessary remedial action or repair work, etc.

If not available, such information would need to be sought from the users or previous holders/maintainers of the appliances, and/or from the suppliers.

RISKS ASSOCIATED WITH ELECTRICAL EQUIPMENT AND DESKS

In recent years, in response to the growing use of information technology (IT) through desk sited computer systems and peripheral equipment, workstations have been established with large quantities of attendant cabling. In many cases, these will have been installed on existing desking, often with local ad hoc solutions to overcome difficulties with siting and plugs and sockets. This has been further complicated by the need to provide secure locations for hardware to prevent theft of the equipment or its components.

Standards and Statutory Instruments

BS6396:1995 “Specification for electrical systems in office furniture and office screens” was developed to provide essential detailed guidance for manufacturers, suppliers, and users on cable management and electrical power distribution systems in office furniture, including screens. The Standard specifies requirements for the safe provision or installation of electrical power, data or telecommunication systems in office furniture and office screens.

In brief, when electrical power distribution systems are installed these must be connected to the mains supply from the building by means of a 13 amp plug and socket. Thus, the electrical system in the furniture and the furniture itself is considered to be an ‘appliance’. The Standard restricts the use of the sockets in or on the furniture to a maximum load per outlet of 5 amps, i.e. office-type equipment only. Furthermore, the Standard restricts the maximum number of outlets fed from one supply lead to six regardless of packaging, e.g., six single outlets, three double outlets, one six-gang multiple outlet. These outlets must be fused in accordance with the provisions of the Standard and the number of sockets connected together strictly limited to keep connected load to a minimum and to restrict the possible build-up of earth leakage currents from the input filter circuits on connected IT equipment.
Although BS6396:1995 is not a statutory instrument, it is widely used in specification for office furniture and its installation and is quoted in most tenders for such items. Compliance with the Standard will generally ensure that the provisions of the Health and Safety at Work Act 1974, the Electricity at Work Regulations 1989 and the Health and Safety (Display Screen Equipment) Regulations 1992 are met.

BS9781:1997 “The requirements for electrical installations. IEE Wiring Regulations 16th edition” defines IT equipment and deals with associated problems of earth leakage. Simply, it prescribes that non-IT equipment should not be plugged into the same circuit as IT or other equipment generating high earth leakage currents. This is usually achieved by terminating separate circuits with non-standard sockets or modifying the electrical distribution board earthing.

On a practical level, future installations of IT workstations in the Department’s property should, with regard to electrical safety, take into account the following factors:

• **Planning**
  New installations and refurbishment of existing property must take into account the interface between the building services and furniture layouts, including scope for future developments and changes. Plans should be kept to be used in conjunction with system testing.

• **Office Furniture**
  Only invitations to tender for desks or workstations meeting current standards should be made. All claims to compliance should be backed up by third party certification, including any special components or deviation from the standard product.

• **Installations**
  PMs, in conjunction with the Premises Adviser, should ensure that installations are only carried out by competent contractors. Documentary evidence of testing of the electrical systems to the requirements of the Standard should be presented and lodged with the Department for future reference.

• **Maintenance and Instructions**
  Procedures should be laid down by PMs for the maintenance of the electrical systems within the workstations. Programmes for regular visual inspections as well as full tests by trained personnel at suitable time intervals should be implemented. Any changes or reconfigurations should be subjected to testing and documented.
PMs should issue instructions to staff to ensure that under no circumstances, should they attempt to undertake any alterations or repairs to the workstation electrical systems. In addition, PMs should ensure that all staff are aware that they have a personal responsibility for the health and safety of themselves and of their colleagues. They should be encouraged to undertake visual inspections of their work areas to check for:

- cables which are damaged or vulnerable to damage (e.g., stretched, appear to be routed incorrectly, or pinched trapped between covers and floor boxes and/or under desks or chairs); and

- desk and floor box cable management parts which are missing or broken.

Visual inspections should be carried out by staff who have been suitably trained and minor changes, not including the necessity for retesting of the systems, may be made. Staff involved in the maintenance or installation of IT equipment should also be suitably trained to recognise any faults or damage to electrical systems they may encounter in the course of their work. IT staff should also recognise the need for correct installation of any data/voice cabling and its implications on the overall safety and compliance of the installation.

**What should you do?**

1. Establish an appropriate system for the inspection, testing and maintenance of fixed electrical installation and portable electrical appliances.
2. Ensure that all electrical work is undertaken by Competent Persons.
3. Implement suitable safe systems of work (permit to work systems) where the electrical operations to be undertaken involve significant risk of injury.
4. Ensure adequate records of inspection, testing and maintenance of the electrical installation and appliances are kept.
5. Ensure that the premises adviser is involved in planning cable management (particularly in workstations) and take this into account in the design of data, voice and power distribution.
6. Ensure that all staff are aware of their individual responsibilities to keep their work areas safe and to report any problems.
7. Over a period of time, use the experience of operating the maintenance system, together with information on the faults found, to review the frequency/adequacy of the Department's inspection/testing regime.
8. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

- Memorandum of Guidance on the Electricity at Work Regulations 1989 HS(R)25

- Electricity at Work: Safe Working Practices HS(G)85
  ISBN 0 7176 0442 X - Priced document.

- Maintaining portable and transportable electrical equipment HS(G)107
  ISBN 0 7176 0715 1 - Priced document.

- Electricity Safety and You IND(G)231
  ISBN 0 7176 1207 4 - Single copies of the leaflet are available free of charge.

- Maintaining portable electrical equipment in offices and other low-risk environments IND(G)236
  ISBN 0 7176 1272 4 - Single copies of the leaflet are available free of charge.
Noise, and the way it affects individuals, essentially originates from two basic sources:

1. **Workplace noise**
   This results from a specific work activity and has an immediate effect on the people carrying out the activity and others who are located close by.

2. **Environmental noise**
   This can be generated from a number of remote sources and can affect individuals (other than those directly connected with the source) who are at work, at home or at leisure. Typical examples include low-flying aircraft, mechanical plant, road traffic or a neighbour’s radio. The noise can also originate in another work place, such as a construction site or an adjacent factory.

While the noise generated by a work process and the way it affects those at work is governed by H&S legislation, the problems noise causes people living or working in premises near to the source may be subject to separate environmental pollution legislation.

The duties imposed by law are implicit within the Health and Safety at Work etc Act 1974, specifically those placed upon the employer to provide a safe working environment and explicitly within the Noise at Work Regulations 1989. In brief, the Regulations apply to all work places and require employers to carry out assessments of the noise levels within their premises and take appropriate preventative action where necessary. The provisions apply to employees, trainees at workplaces and the self-employed (except those on board aircraft and shipping). Employers are required to safeguard their own employees, and workers not employed by them and the general public who are exposed to noise from their activities.

The Regulations define three Action Levels:

- **First Action Level**
  A daily personal noise exposure of 85 decibels or dB(A). (A decibel is one tenth of a Bel, a logarithmic type of scale which represents the response of the ear to sound pressures);

- **Second Action Level**
  A daily personal noise exposure of 90 dB(A);

- **Peak Action Level**
  Exposure to a peak sound pressure level of 140 dB(A) (200 Pascals).
The first and second action levels represent the calculated average exposure (a noise dose) to which a person might be subjected throughout a normal eight hour working day. The calculation takes into account the considerable variations in noise intensity and frequency that occur during the working day which arise from work breaks and when machinery comes on line or under load, and averages these out to give an accurate exposure for the total period. The calculation is not easily made and the normal method is to use a sound level meter that contains circuitry that performs the calculation and gives a direct reading, but other methods can be used.

The following examples illustrate typical noise levels:

- normal conversation 60 dB(A);
- busy traffic 80 dB(A);
- heavy goods vehicle 90 dB(A);
- factory floor 100 dB(A);
- jet engine 140 dB(A).

The third action level, the Peak Action Level, represents a maximum specific sound pressure level to which a person might be subjected at any time during their work. It is particularly significant in situations where loud percussive or explosive sounds are heard in an otherwise relatively quiet working environment. Pile driving and shot firing are typical examples. An airport ground crew's relatively short duration exposure to jet engine noise might be another. Again, the law requires an employer to take remedial action if the Peak Action Level may be expected to occur, regardless of whether either the First or Second Action Levels are attained during the working day.

The level of noise generated within departmental premises will generally be significantly below the action levels quoted. However, possible exceptions where staff and the public may be at risk include:

- the regular use of heavy machinery, eg reprographic centres and mail rooms with high levels of automation; and
- building operations within the premises.
Where there is good reason to believe that the action levels are likely to be reached, the Regulations require the employer to undertake a specific risk assessment. As with all other H&S Regulations, the assessment must be carried out by a Competent Person who is able to determine accurately the noise levels that are being reached and advise on the preventive and protective measures necessary to, so far as is reasonably practicable, reduce the sound exposure and/or protect those exposed from its harmful effects.

In brief, the protective and preventive measures adopted should follow the hierarchy of controls outlined below:

- **Step 1:** Redesign noise source or use other process;
- **Step 2:** Maintain and modify existing source;
- **Step 3:** Block the noise transmission path;
- **Step 4:** Enclose the workers, reduce noise dose. Limit numbers of staff exposed;
- **Step 5:** Provide appropriate personal protective equipment (always a last resort).

The action that should be taken by PMs is summarised as follows:

1. A risk assessment of noise levels should be undertaken by a Competent Person and records kept. A rough indication of levels around 85 dB(A) is by checking if someone can be heard clearly when they are two metres away.

2. Staff and Trade Union Safety Representatives/Representatives of Employee Safety should be advised about the risks to their hearing. At the First Action Level, staff should be provided with ear protectors on request. If staff consider that their hearing is being affected they should be advised to seek medical advice.

3. Noise reaching the Second or Peak Action Level exposure must be controlled. All that is reasonably practicable should be done to reduce it. (See hierarchy of control measures). Zones should be marked with the recognised signs to restrict entry to those wearing hearing protection where the Second or Peak Action Levels are reached. (Wearing hearing protection then becomes mandatory in those areas.)

4. Ear protectors must be provided if staff request them when exposures reach the First Action Level. In areas where noise reaches the Second or Peak Action Level and in marked zones, individuals must be provided with ear protectors, ear muffs, or ear plugs and everyone must wear this personal protective equipment.
In addition to specifying action levels, the Regulations also impose the duty on the manufacturer or supplier of any machine, tool or article (a drill, for example) to provide adequate information about the noise which is generated by that product, where the noise generated may lead to an action level being attained. PMs should refer to machinery suppliers for the full technical data on the noise emissions of machinery installed and/or equipment used. The data may then be used as a basis for initial calculation of likely noise exposure levels, whether there is a need for a full risk assessment and what preventive and protective measures need to be taken. It is also important to note that if there is more than one machine operating simultaneously, the calculation of the total sound pressure levels is not a simple mathematical addition of the noise emissions for each machine, but is a more complex logarithmic calculation.

PMs should also be aware of the effects of the low level background noise levels which can interfere with speech and concentration, and cause irritation. Also, that intermittent and unpredictable noise can be particularly distracting. While these specific problems are not regulated or quantified in legislation, the Health and Safety at Work Act 1974 does require the employer to provide a working environment that is, so far as is reasonably practicable, without risk to health and the schedule to the Health and Safety (Display Screen Equipment) Regulations 1992 requires noise to be taken into account when a workstation is being equipped. The presence of undue noise, which could lead to stress, may constitute a breach of the statutory provisions and hence, should be given serious consideration and remedied where practicable.

What should you do?

1. Identify all activities where noise levels emitted are likely to exceed the action levels quoted in the Regulations.

2. Ensure a Competent Person undertakes a suitable and sufficient assessment of the risk and that such is record.

3. Introduce appropriate systems to ensure that the H&S arrangements are continuously monitored and that, so far as is reasonably practicable, risk assessments are reviewed as and when required.

4. Ensure that information on the noise levels identified, and the control measures implemented to eliminate and/or reduce significant risks to the lowest extent reasonably practicable, is conveyed to Trade Union Safety Representatives/Representatives of Employee Safety; staff and other interested parties, eg Contractors, House Committee; H&S Committee.
5. Where necessary, introduce appropriate monitoring systems to ensure that PPE provided is fully utilised.

6. Request details of risk assessments from contractors undertaking activities for the Department where the noise levels emitted are likely to exceed the Action Levels. If at all possible, arrange for noisy operations to be effected out of normal business hours and/or at the weekends.

7. If the noise reduction measures implemented include engineering controls, ensure that the equipment is included in the Department's maintenance regime.

8. Ensure appropriate H&S information and training has been provided.

9. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer, if necessary.

10. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   • Noise at Work: Noise assessment, information and control. Noise Guides 3-8 HS(G)56 ISBN 0 11 885430 5 - Priced document.

   • Sound Solutions: Techniques to reduce noise at work HS(G)138 ISBN 0 7176 0791 7 - Priced document.

   • Introducing the Noise at Work Regulations - IND(G)75 ISBN 0 7176 0961 8 - Single copies of the leaflet are available free of charge.

   • Noise at Work - IND(G)99 ISBN 0 7176 0962 6 - Single copies of the leaflet are available free of charge.

   • Ear Protection in noisy firms: Employers' duties explained - IND(G)200 ISBN 0 7176 0924 3 - Single copies of the leaflet are available free of charge.
THE GAS SAFETY (INSTALLATION AND USE) REGULATIONS 1998

This section provides guidance on the provision of safe gas installations. It applies to installations supplied with natural gas and installations supplied with liquified petroleum gas (LPG) from a storage installation or from cylinders. The requirements for LPG storage installations are very complex, hence the scope of this guidance is restricted to the use and application of LPG.

In all circumstances, duties associated with gas installations should be undertaken by personnel with the appropriate level of technical competency. There is one exception to this technical competency requirement and this relates to the procedures for reporting gas leaks. Anyone may report a gas leak and act to isolate the source of gas to prevent further leakage. However, if the person discovering or suspecting a leak feels unable to take appropriate action themselves, they should seek assistance from the Premises Manager and/or Premises Adviser. In all circumstances, the person responsible for the building and/or site should be informed of any leakage and action taken.

The Gas Safety (Installation and Use) Regulations 1998 define ‘the responsible person’ in connection with gas installations in premises as being the occupier of the premises or, where there is no occupier or the occupier is away, the owner of the premises or any person with the authority for the time being to take appropriate action in relation to any gas fitting therein.

It can be deduced from the above definition that the responsible person can change from the building contractor’s representative during construction, to the landlord’s representative while vacant, to the premises manager upon occupation. If the premises then become vacant again, the responsible person’s duties can pass from the occupier back to the owner. In an emergency, any person with authority to take appropriate action, can be considered as the responsible person in the occupier’s absence.

Relevant Statutory Provisions

The Health and Safety at Work Act 1974 requires employers to ensure that gas installations are maintained in a safe condition. In addition, the Gas Safety (Installation and Use) Regulations 1998 contain provisions relating to the installation and use of gas fittings and appliances, and also the transmission, distribution, and supply of gas through pipes. The purpose of the Regulations is to protect the public from the risks arising from the supply of gas, particularly faulty installation of fittings and appliances.
The provisions relating to gas fittings include the requirement for work to be carried out only by Competent Persons and for their employers to be members of the class of persons approved by the HSE. The Council for Registered Gas Installers (CORGI) is the only body approved for the purposes of the Regulations.

The Regulations define gas fittings as including the gas pipework, valves, regulators, meters, apparatus and appliances designed for use by gas consumers for the purpose of heating, lighting, cooking, or other reasons (except for the purpose of an industrial process undertaken on industrial premises).

Work in relation to a gas fitting, as defined by the Regulations, covers many activities including:

- installing the fittings;
- maintaining, servicing, permanently adjusting, repairing, altering or renewing the fitting or purging it of air or gas;
- where the fitting is stationary, changing its position; and
- removing the fitting.

It is implicit in item 2 that, should the gas supply be switched off at a main meter, for whatever reason, the supply may only be restored by a Competent Person, after having completed necessary safety checks and purging.

**Safe Working Procedures For and Dealing with Gas Escapes**

Responsible persons have a duty under the Regulations to ensure that the following actions are taken under gas escape conditions or suspected gas escape conditions:

- **All reasonable steps are to be taken to shut off the gas supply so as to prevent the further escape of gas.** In particular, the responsible person must ensure that a Competent Person (from a CORGI-registered organisation) attends the scene of the reported leak and that:
  - the gas supply has been isolated;
  - all naked flames and sources of ignition have been extinguished;
- windows and doors are opened such that any concentration of gas can disperse;

- the gas supply cannot be turned on again by removing the key, handle or handwheel from the gas emergency control valve; and

- a warning notice stating “gas leak - do not turn on” is attached to the isolating valve.

It would be advisable to cordon off the area surrounding the suspected gas leak or, if appropriate, evacuate the building and allow access only to those personnel involved in tracing and repairing the suspected leak.

- **If gas continues to escape in the premises after the supply has been shut off or the smell of gas persists, notice of the gas escape is to be given to the gas supplier.**

- **Where an installation has been isolated from the supply to prevent an escape of gas, the gas supply must not be turned on again until the cause of the leakage has been repaired and tested by the Competent Person.**

In brief, responsible persons should ensure that a formal procedure (Permits to Work) is established for each installation under their control and that the procedures are reviewed at frequent intervals to ensure that they are still valid. In particular, PMs and those responsible for the security of buildings during silent hours should be aware of the gas escape reporting procedures.

**Records/Documentation**

PMs should ensure that, prior to accepting responsibility for the operation and maintenance of gas installations and appliances in buildings, the following documentation is held and, if not, steps are taken to acquire it:

- design data and calculations;

- ‘as-installed’ drawings, including diagrams and relevant schedules; and

- maintenance and operating instructions.
What should you do?

1. Seek professional advice from your Premises Adviser and/or the Departmental Safety Officer on the Gas Safety (Installation and Use) Regulations 1998 pertinent to premises management. In particular, PMs should ensure that:

   • appropriate procedures are established for the reporting of gas leaks, both within and outside normal business hours, and that such are communicated to staff and contractors employed on the premises;

   • safe working procedures (Permits to Work) are implemented to ensure that appropriate action is immediately taken in the event of gas escape or suspected gas escape conditions;

   • only CORGI-registered contractors are commissioned to undertake work on the gas installation and/or appliances; and

   • suitable and sufficient records are kept indicating the nature of routine inspection, testing and maintenance undertaken, including details of the remedial works carried out by the Competent Person.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:

   • The Gas Supply (Installation and Use) Regulations 1998. Approved Code of Practice L56
     ISBN 0 7176 0797 6 - Priced document.
REGULAR AND STATUTORY INSPECTION OF EQUIPMENT

Most premises contain items of equipment, plant, services, etc., which are subject to regular statutory inspections. They may also require tests and certification of continuing suitability for use.

The use of the terms ‘statutory’ and ‘non-statutory’ may cause confusion on occasions. Statutory requirements are those specifically called for in legislation, e.g., passenger lifts must be inspected by a Competent Person every six months. However, there is no direct statutory requirement to maintain a register of asbestos but many organisations do so because this is a simple way of complying with their statutory duty of providing a safe working environment under the Health and Safety at Work Act. Hence, it is apparent that non-statutory tasks are, nevertheless, necessary in order to comply with H&S legislation.

It is recommended that PMs, as part of the risk assessment for the premises, obtain advice regarding those items requiring inspection for H&S reasons and also to provide general safety, although such may not be required by statute. (See also H&S 4.14 and Annexes PLMT 4.0/1 and 2.)

Risk Assessment

(See H&S 4.4 for detailed guidance on risk assessment.)

The following list indicates risk assessments that may be necessary but is not intended to be exhaustive:

- asbestos or materials containing asbestos;
- fire precautions;
- window cleaning access equipment;
- window cleaning eyebolts;
- structural surveys of the building;
- fire hydrants and wet or dry risers;
- drinking water (stored);
- sewage treatment works;
• large sliding doors;
• masts, towers, flagpoles;
• water towers;
• bridges (including footbridges);
• chimneys;
• gymnasium equipment/children’s playground equipment;
• industrial door mechanisms;
• fire-operated shutter doors (smoke or heat);
• lifts;
• lifting appliances;
• lifting beams;
• suspended chandeliers;
• catering equipment;
• electrical installations;
• fixed electrical equipment;
• plug-in and portable electrical equipment;
• earthing installations;
• lightning conductors/systems;
• wood poles (eg electricity, telecoms, lighting);
• boilers and pressure vessels (including some hot water boilers); and
• testing (water cisterns, cooling towers, air conditioning plant, showers, etc) for water quality, including the avoidance of Legionella.

The frequency of some of these inspections is prescribed in Regulations or alternatively, recommended in Approved Codes of Practice, Guidance and/or other relevant standards. However, where there is no mandatory requirement for inspection/test, the frequency should be decided by the risk assessment.
Examples of some of the more common types of installation which require a formal statutory inspection by a Competent Person are provided at Annex H&S 4.17/1.

Annex H&S 4.17/2 provides typical examples of where minimal maintenance is required to meet explicit or implied statutory requirements.

What should you do?

1. Establish through a suitable and sufficient risk assessment, the frequency and nature of equipment, plant and services inspection required in the Department. If necessary, seek professional advice from your Premises Adviser and/or the Departmental Safety Officer.

2. Ensure that all necessary inspections are carried out by Competent Persons and adequate records of such are maintained.

3. Implement appropriate safe operating systems (Permits to Work) to ensure the isolation of defective equipment, plant and services and for the subsequent repair or replacement of such. These safe systems of work should be documented and incorporate appropriate contingency arrangements.

4. Obtain copies of HSE publications relevant to the regular and statutory inspection of equipment.

5. In addition to the documents listed in the sections covering the Control of Substances Hazardous to Health, the Prevention and Control of Legionellosis, the Control of Asbestos at Work, Radon, Electricity at Work, Gas Safety and Fire Safety, the following HSE publications may be of particular assistance:

   - Automatically controlled steam and hot water boilers (Rev) PM5 ISBN 0 7176 1028 4 - Priced document.


   - Electrical hazards from steam/water pressure cleaners (Rev) PM29 ISBN 0 7176 0813 1 - Priced document.

## ANNEX H&S 4.17/1 - SUMMARY OF COMMON TYPES OF INSTALLATION REQUIRING A FORMAL STATUTORY INSPECTION

<table>
<thead>
<tr>
<th>Type of Installation</th>
<th>Minimum Frequency of Inspection</th>
<th>Legislation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lifts such as electric and hydraulic passenger lifts</td>
<td>Every 6 months</td>
<td>An explicit requirement of the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) from 5 December 1998.</td>
</tr>
<tr>
<td>Lifting tackle chain and wire rope slings, eye bolts, shackles etc</td>
<td>Every 6 months</td>
<td>An explicit requirement of the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) from 5 December 1998.</td>
</tr>
<tr>
<td>Electrical installations in cinemas</td>
<td>Annually</td>
<td>An explicit requirement of the Cinematograph Safety Regulations 1955.</td>
</tr>
<tr>
<td>Pressure vessels and systems</td>
<td>As specified in the Written Scheme of Examination</td>
<td>An explicit requirement of the Pressure Systems and Transportable Gas Containers Examination Regulations 1989</td>
</tr>
</tbody>
</table>
### ANNEX H&S 4.17/2 - EXAMPLES OF MINIMUM MAINTENANCE ARRANGEMENTS TO SATISFY EXPLICIT OR IMPLIED STATUTORY REQUIREMENTS

<table>
<thead>
<tr>
<th>System</th>
<th>Task</th>
<th>Specific or Recommended Minimum Frequency</th>
<th>Reason</th>
</tr>
</thead>
</table>
| Electrical installations and fixed appliances in non-hazardous areas | 1. Thoroughly inspect and test the electrical installation at the point of origin of supply.  
2. Thoroughly inspect and test each circuit and fixed appliance. | 5-yearly                                    | To comply with the Electricity at Work Regulations 1989 and the current edition of the IEE Wiring Regulations. |
| Inspection and testing of portable and semi-portable electrical appliances | 1. Inspect and test ‘high risk’ appliances, such as hand held power tools and their extension leads.  
2. Inspect and test ‘medium risk’ appliances, such as vacuum cleaners, kettles and other such frequently moved domestic equipment.  
3. Inspect and test ‘normal risk’ static appliances, such as office machines, table lamps, etc. | 6-monthly  
Anually  
2-yearly | To comply with the Electricity at Work Regulations 1989 and HSE guidance note HSG107 maintaining portable and transportable electrical equipment. |
| Heating and domestic hot water systems            | **Storage vessels:**  
1. Check stored temperatures under no draw-off conditions.  
2. Check outflow water temperatures under normal draw-off conditions.  
3. Test water samples from drain for microbial activity.  
4. Inspect internal conditions. | Subject to a risk assessment, 6-monthly for buildings with spray outlets and annually for other buildings. | To comply with the Control of Substances Hazardous to Health (COSHH) Regulations 1994. Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSG70 The Control of Legionellosis, including Legionnaire’s Disease, is deemed to satisfy. Medical buildings should, in addition, comply with the DHSS Code of Practice - The Control of Legionellae in Health Care Premises. |
### ANNEX H&S 4.17/2 (Continued) - EXAMPLES OF MINIMUM MAINTENANCE ARRANGEMENTS TO SATISFY EXPLICIT OR IMPLIED STATUTORY REQUIREMENTS

<table>
<thead>
<tr>
<th>System</th>
<th>Task</th>
<th>Specific or Recommended Minimum Frequency</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Hot water service systems:</strong></td>
<td>5. Check branch, sub-branch and main return water temperatures under normal and no draw-off conditions.</td>
<td>Subject to a risk assessment, 6-monthly for buildings with spray outlets and annually for other buildings.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Test samples from outlets for microbial activity.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. Clean and disinfect shower heads.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Cold Water Systems</strong></td>
<td>1. Bacteriological analysis of water taken from stored drinking water cisterns containing more than 1000 litres.</td>
<td>6-monthly</td>
<td>To comply with the Health and Safety at Work Act 1974 and the Workplace Regulations 1992. To ensure continued compliance with water byelaws.</td>
</tr>
<tr>
<td></td>
<td>2. Chemical analysis of water taken from stored drinking water cisterns containing more than 1000 litres.</td>
<td>Annually</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Inspection</td>
<td>Annually</td>
<td></td>
</tr>
<tr>
<td><strong>Asbestos based materials - safety procedure</strong></td>
<td>1. Inspect asbestos lagging and materials containing asbestos which form part of M&amp;E installations, except where the lagging or materials are installed on pipes in ducting.</td>
<td>Annually</td>
<td>To comply with the HSC Approved Code of Practice, the Control of Asbestos at Work Regulations 1987 and the Control of Substances Hazardous to Health (COSHH) Regulations 1994.</td>
</tr>
<tr>
<td></td>
<td>2. Inspect asbestos based materials installed on pipes in ducting.</td>
<td>5-yearly</td>
<td></td>
</tr>
</tbody>
</table>
H&S 4.18

THE HEALTH AND SAFETY (SAFETY SIGNS AND SIGNALS) REGULATIONS 1996

These Regulations came into force on 1 April 1996 and require safety and/or health signs at work to meet minimum standards.

In brief, the Regulations require that where a risk assessment indicates that, despite the implementation of appropriate control measures, a residual danger exists to employees, contractors, or the public, then appropriate signs to warn or instruct individuals of the nature of the risks and measures to be taken against them should be provided and maintained.

It should be noted that, in the hierarchy of control measures for H&S at work, safety signs are to be regarded as a ‘last resort’ when there is an absence of any reasonable or suitable alternative.

The Schedule to the Regulations also makes provision for the use of appropriate hand signals, acoustic signals or verbal communication to warn or instruct of H&S risks. However, risks in connection with the movement of traffic (including risks to pedestrians) would be covered by the appropriate sign prescribed under the Road Traffic Regulations Act 1984.

Departments must ensure that comprehensible and relevant information on the measures to be taken in connection with safety signs is provided to employees, and that employees receive suitable and sufficient instruction and training in the meaning of safety signs and the subsequent measures to be taken.

There are five basic categories of signs, each with its own distinctive shape and colour:

1. Prohibitory Signs

These are circular with a red border and diagonal line over a black symbol on a white background. It is meant to indicate the prohibition of the depicted activity, eg “No smoking”.

2. Warning Signs

These are triangular in shape with a black border and symbol on a yellow background. It will denote the presence of the depicted danger in the area when the sign is displayed, eg “Slippy floors”.
3. Mandatory Signs

These are circular on a blue background with symbols in white. These will indicate specific instructions that must be obeyed, where there is an obligation to use safety equipment, eg “Hearing protection must be worn”.

4. Emergency Signs

These are square or rectangular (depending on the size of the text or symbol) and consist of a green background with white symbols. These will denote some safety consideration, eg “First aid post”.

All fire exit signs which do not incorporate a pictogram (such as the running man symbol) should have been adapted or replaced by 24 December 1998. Fire exit signs which already incorporate a running man symbol did not have to be replaced.

5. Fire Fighting Signs

These are rectangular or square, with a white pictogram on a red background. These provide information on the location of emergency facilities, eg “Fire extinguisher”.

What should you do?

1. Ensure that all safety signs displayed or warning signals adopted within the Department’s premises, comply with the requirements of the Regulations.

2. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   • Signpost to Safety Signs Regulations. IND(G)184. ISBN 0 7176 1139 6 - Single copies of the leaflet are available free of charge.
Construction work is both wide and diverse and there are many statutory provisions relating to health and safety and construction. However, the main requirements for the management of health and safety on temporary or mobile construction sites are contained within the Construction (Design and Management) Regulations 1994 (CDM) and the associated Approved Code of Practice.

This section is not intended to provide comprehensive guidance on the CDM Regulations as this can be found at MTCE 3.5 of this Guide. Nevertheless, PMs should be aware of the general requirements of the statute concerned which are:

- where the CDM Regulations apply to the work, employers must appoint competent planning supervisors and principal contractors and provide them with the necessary information to carry out their roles effectively. Employers must also ensure that work does not begin until a satisfactory Health and Safety Plan has been prepared and that the Health and Safety File for the premises is handled properly.

- where the CDM Regulations do not apply, employers must ensure that all other statutory provisions are complied with, particularly when two or more employers are sharing a workplace. For example, it is essential that appropriate procedures are developed and followed in the event of serious and imminent danger and that employers carry out the necessary co-operation, co-ordination and information exchange between all parties to ensure statutory duties are met.

What should you do?

Consult MTCE 3.5 of this Guide for detailed guidance on the CDM Regulations.
Disability Discrimination Act 1995

The Disability Discrimination Act (DDA) was passed in 1995 with the objective of protecting people with disabilities from discrimination. The Act is now fully in force and is supported by a comprehensive code of practice and guidance notes. It gives disabled people new rights in the areas of:

- employment;
- obtaining goods and services; and
- buying or renting land or property.

Definition of disabled person

A person will be regarded as being disabled for the purpose of the Act if “he/she has a physical or mental impairment which has a substantial long-term adverse effect on his/her ability to carry out normal day-to-day activities”.

In order for the provisions of the Act to apply, the impairment must have lasted or be likely to last for at least one year, but it may also apply to persons who have had a disability in the past.

Duties Under the Act

Departments generally have responsibilities in two distinct categories under this particular legislation: namely as:

- employers; or
- service providers.

Whilst the approach to managing disability discrimination will vary depending upon the circumstances, there a number of common principles. In brief, discrimination has two parts:

1. If an employer treats a disabled person less favourably, for reasons related to their disability, than they treat or would treat another person to whom those reasons do not apply, and that treatment cannot be justified; and

2. Where an employer fails to make a reasonable adjustment and the failure to make the adjustment cannot be justified.
The duty of employers not to discriminate and to provide a reasonable adjustment, where appropriate, for disabled staff applies to all aspects and stages of employment, i.e:

- selection;
- recruitment;
- induction;
- promotion;
- training;
- career development;
- retention;
- terms and conditions of service;
- transfers; and
- dismissal.

Departments are expected to make a reasonable adjustment where appropriate, which may include one or more of the following:

- making physical adjustment to premises;
- allocating some of the disabled person’s duties to another person (where these are minor or subsidiary);
- transferring the disabled person to another existing vacancy;
- altering the disabled person’s working hours;
- moving the disabled person to a different place of work;
- allowing a disabled person to be absent during working hours for rehabilitation, assessment or treatment;
- arranging training;
- acquiring or modifying equipment;
- modifying instructions or reference manuals;
- amending procedures for testing or assessment; and
- supplying a reader or interpreter and providing supervision.
Departments should have appointed a ‘Disabled Persons Officer’ or other nominated individual who is charged with ensuring compliance with the employment requirements of the Act. Hence, PMs are unlikely to be involved in this particular aspect but will need to be aware of matters relating to service provision, eg:

- it is against the law for someone to operate a service in a way which makes it impossible or unreasonably difficult for a disabled person to use the service;

- organisations have to provide equipment or other helpful items to make it easier for disabled people to use their service; and

- organisations have to remove physical obstructions or provide other ways of enabling disabled people to use their service.

**Access Features**

PMs should give consideration to the following building and facility features that will help disabled people access property:

**Car parking** - where parking space is feasible, reserved space(s) for disabled people should be provided.

**Approach** - where there is a route through grounds, the path should be firm and non-slip. It should be wide enough to be negotiated easily by a wheelchair user or a visually-impaired person using a stick, and should not have any obstacles such as a flower bowl or a waste bin.

**Principal entrance** - it is preferable that access for disabled people should be provided through the principal entrance. The door should be wide enough for a wheelchair user, with handles low enough to be reached from a wheelchair.

**Entrance** - where the access is not level, it is better to have both steps and a ramp (walking disabled people with respiratory problems cope better with steps) but if both cannot be provided, a ramp is preferable.

**Entrance lobby** - should be wide enough and long enough to be easily negotiated by a wheelchair user.

**Steps** - it is recommended that top and bottom landings have a textured surface and the edges of the steps be marked in yellow or white.
**Internal layout** - should take account of the fact that some property users may have limited mobility, vision, hearing, etc. So, for example:

- display areas should be arranged to allow comfortable, uncluttered access. Objects (such as leaflet stands or planters) are not to be left in obstructive positions.

- key areas such as Reception should be clearly signed, including the availability of loop induction system hearing aids; and

- changes of floor level that involve steps should also include a ramp. If modular ramps are used, they must be of a secure and stable design.

**Special toilets for disabled users** - disabled people should have access to a toilet and, wherever possible, that should be a suitably designed disabled-user facility.

**Lifts** - should be spacious enough for wheelchair users and have audible indicators for visually impaired people. It is recommended that emergency telephones in lifts be located at an appropriate height and fitted with an inductive coupler and also that call/floor buttons should also be positioned at an appropriate height.

**Hearing aids** - it is recommended that hearing-impaired persons are assisted by such means as an induction loop system.

**Emergency arrangements**

Special consideration must be given to the needs of disabled persons in emergency situations. In particular, PMs should ensure that disabled persons are able to both recognise an alarm signal and safely evacuate the building. Advice on these matters is provided in the FSG.

The Act's requirements apply to the needs of people with all types of disability. The needs of wheelchair users appear to predominate in the area of property adjustments because they are likely to have the greatest impact on property design and normally incur the greatest costs. When the needs of wheelchair users are catered for, other persons with reduced mobility will usually find access easier.

Where it is impossible to provide facilities for disabled people and danger would otherwise arise, they should be accompanied by a non-disabled person.

**PACE CAU Information Notes 38/96 and 12/99** provide Departments with further guidance on responsibilities under the DDA.
Sources of Advice

Names and addresses of organisations able to give advice on facilities for persons with disabilities can be found in the Yellow Pages. However, for convenience, some of the principal organisations concerned are listed below:

- Access Committee for England, 12 City Forum, 250 City Road, London, EC1V 8AF. Tel: 0171 250 0008;
- Wales Council for the Disabled/Cyngor Cymru I’n Anabl, Llys, Ifor Crescent Road, Caerphilly, Mid Glamorgan, CF8 2XL. Tel: 01222 887325;
- Centre on Accessible Environments, Nutmeg House, 60 Gainsford Street, London, SE1 2NY. Tel: 0171 357 8182;
- Disability Scotland, Princes House, 5 Shandwick Place, Edinburgh, EH2 4RG. Tel: 0131 229 8632;
- Disabled Living Foundation, 380-384 Harrow Road, London, NW2HA. Tel: 0181 289 6111. (Expert advice on equipment);
- National Federation of the Blind of the UK, Unity House, Smyth Street, Westgate, Wakefield, West Yorkshire, WF1 1ER, Tel: 01924 291313;
- Royal Association for Disability and Rehabilitation, Unit 12, City Forum, 250 City Road, London, EC1V 8AF. Tel: 0171 250 3222;
- Royal National Institute for the Blind, 224 Great Portland Street, London, W1N 6AA. Tel: 0171 388 1266;
  9 Viewfield Place Stirling, FK8 1NL. Tel: 01786 451752;
  10 Magdala Crescent, Edinburgh, Tel: 0131 313 1498;
- Royal National Institute for the Deaf, 19/23 Featherstone Street, London, EC1V 8SL. Tel: 0171 296 8000;
  9 Clairmont Gardens, Glasgow, G3 7LW. Tel: 0141 332 0343;

What should you do?

1. Ensure that the building survey takes into account the requirements of the DDA.
2. Conduct property audits to ensure compliance with the DDA.
3. Ensure the Department’s emergency procedures take into account the specific needs of persons with disabilities.
FIRE SAFETY

Fire precautions may be grouped into two areas:

- that for life (safety) protection; and
- that for property (damage limitation) protection.

These groups will impinge on each other and provide mutual support. Life protection has, however, a legislative requirement whereas property protection is normally an additional requirement of insurers or in the case of Government occupancies, the Crown Fire Standards (CFS), and the intention is to limit damage to premises.

Legislation


Guidance

PMs should refer to the Fire Safety Guide (FSG) for advice on discharging their Department’s statutory and Crown policy responsibilities with regard to fire safety management. The FSG explains how fire safety legislation applies to the Crown and details the responsibilities imposed on Departments.

In brief, the FSG provides a ‘one-stop’ comprehensive document, which can form the basis of a structured approach to fire safety management. In addition, it provides advice on preparing salvage plans, which can be vital in reducing fire losses, particularly directed at PMs in historic premises and other premises of national or strategic importance.

The FSG has been written specifically to assist informed lay persons. It is in no way intended to be a substitute for professional expertise from fire advisers.

Statutory fire protection measures are primarily concerned with safety of life. These will have some beneficial effect on property and contents protection, though they may be insufficient to deal effectively with situations where the loss potential is high. In view of the circumstances, the CFS have been developed and adopted as a means of ensuring adequate property protection in addition to providing life safety.
The CFS provide guidance on the property protection provisions relating to the type of building and usage as well as on meeting national standards and Regulations, whether or not they are applicable to the Crown. The Standards are intended for use during the design, construction, refurbishment, extension, alteration and change of use of Crown premises with an overall aim of reducing the risk of fire and keeping fire losses to a minimum. They are not, therefore, intended for a lay readership. PMs should also note that adoption of the CFS is mandatory on the defence estate but not on the civil estate, where they are offered as examples of best practice advice.

**What should you do?**

1. Familiarise yourself with the contents of the FSG and, if necessary, the CFS.

2. Ensure that appropriate systems are established for the protection of life and property within the Department's premises.

3. Seek advice from your Departmental Fire Adviser as appropriate.
FOOD SAFETY ACT 1990

Catering and Vending - Summary of Duties

This section outlines the general health and safety requirements for the provision of facilities for eating and drinking and the safety standards expected in a staff canteen/kitchen. It does not address the far-reaching requirements of food hygiene in catering businesses.

Under the Health and Safety at Work Act 1974, employers have a general duty to have regard for the health, safety and welfare of all persons at work. Whilst there is no general requirement for employers to provide food and drink for sale to employees, the Workplace (Health, Safety and Welfare) Regulations 1992 require suitable and sufficient facilities for preparing or obtaining hot drinks to be provided. Furthermore, where hours of work or location mean that hot food cannot be easily obtained, workers should be provided with the means to heat their own food.

Where employers provide food and drink for sale such as in a staff canteen, the provisions of the Food Safety Act 1990 and its associated Regulations: the Food Safety (General Food Hygiene) Regulations 1995 and the Food Safety (Temperature Control) Regulations 1995 will apply. In such cases, the premises will have to be registered with the local authority by employers under the provisions of the Food Premises (Registration) Regulations 1991. Where such facilities are provided by contractors on behalf of employers, the contractors will be responsible for the registration.

The central aim of this legislation is to provide safety controls through the food chain from source to ultimate consumption, thus ensuring that food is fit for human consumption and unlikely to be injurious to health. The Environmental Health Officers of the Local Authority are the body tasked with the responsibility for enforcement of relevant standards and, accordingly, have considerable powers. In brief, officers may inspect premises, processes and records at all reasonable times and may copy any relevant records and take samples of food for later analysis. They may also take their own visual records, such as still photographs and videos. In appropriate circumstances, for example when an initial request for entry has been refused, officers can apply to magistrates for a warrant. If unsatisfactory conditions and/or practices are identified at food premises, the officers have wide reaching powers conveyed to them to secure the necessary improvements.
The action required under food safety legislation will depend on whether Departments simply provide equipment for employees to use themselves or provide full catering services. In the first case, PMs should ensure that the following records are kept:

- risk assessments relating to food safety in canteen areas, together with arrangements for monitoring and controlling the risks identified;

- details of the equipment provided for the preparation of food and drink and the arrangements for maintaining it in a safe condition;

- details of cleaning programmes for all equipment, utensils and surrounding areas where food is prepared;

- details of the registration of food preparation companies where prepared food is brought into the department, such as for buffets or social functions; and

- complaints of ill health alleged to have arisen from food or drink prepared or consumed at the workplace.

Where food and/or drink is supplied, the following additional records should be kept:

- purchasing specifications for food;

- supplier assessments;

- hazard analysis records together with a list of the identified critical steps and their associated controls;

- temperature records; and

- the food hygiene training records of employees who handle food.

PMs should note that the main food safety requirements pertinent to departmental property are contained in the Food Safety (General Food Hygiene) Regulations 1995, a summary of which is attached as Annex H&S 4.22/1. In addition, the temperatures at which sensitive/ high risk foods must be kept is specified within the Food Safety (Temperature Control) Regulations 1995. This prescribed piece of legislation is quite complex but, as a rough guide, PMs should ensure that all perishable food is stored at a temperature of 5°C or lower or, alternatively, above 65°C. Appropriate food thermometers should be provided and regular checks undertaken to ensure compliance with prescribed storage temperatures.
Furthermore, **PMs** may wish to issue the following basic guidance to staff on correct food storage arrangements:

- raw foods should be covered and kept below cooked foods to prevent drips contaminating products which will not be subject to heat treatment;

- fridges/freezers should be defrosted on a regular basis to facilitate temperature control and maintain energy efficiency;

- food which has exceeded its use by date should be disposed of; and

- surfaces liable to come into contact with food should be regularly cleansed and sanitised. (It is helpful if a cleaning regime/rota for all pieces of equipment and/or food preparation surfaces is adopted).

**What should you do?**

1. Ensure food safety responsibilities are clearly defined.

2. Undertake regular inspections to ensure appropriate standards are in place and food control measures are being adhered to.

3. Seek advice and guidance on compliance with food safety legislation from the Environmental Health Services Division of your Local Authority.
## ANNEX H&S 4.22/1 - SUMMARY OF THE MAIN REQUIREMENTS OF THE FOOD SAFETY (GENERAL FOOD HYGIENE) REGULATIONS 1995

<table>
<thead>
<tr>
<th>Schedule and Chapter</th>
<th>Equipment and Facilities</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Schedule 1, Chapter 1</strong>&lt;br&gt;General requirements for food premises (other than those in Chapter III)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Food premises</td>
<td></td>
<td>Keep clean, and in good repair and condition.</td>
</tr>
<tr>
<td>1.2 Layout, design, construction, and size</td>
<td>Should permit good hygiene practice and be easy to clean and/or disinfect and should protect food against external sources of contamination such as pests.</td>
<td></td>
</tr>
<tr>
<td>1.3 Sanitary and handwashing facilities</td>
<td>Adequate facilities must be available and lavatories must not lead directly into food handling rooms.</td>
<td></td>
</tr>
<tr>
<td>1.4 Washbasins</td>
<td>Must have hot and cold (or appropriately mixed) running water and materials for cleaning and drying hands. Where necessary, there must be separate facilities for washing food and hands.</td>
<td>Provide soap and suitable hand drying facilities.</td>
</tr>
<tr>
<td>1.5 and 6 Ventilation</td>
<td>There must be suitable and sufficient means of natural or mechanical ventilation. Ventilation systems must be accessible for cleaning eg give easy access to filters.</td>
<td></td>
</tr>
<tr>
<td>1.7 Lighting</td>
<td>Food premises must have adequate natural and/or artificial lighting.</td>
<td></td>
</tr>
<tr>
<td>1.8 Drainage</td>
<td>Adequate drainage facilities must be provided.</td>
<td></td>
</tr>
<tr>
<td>1.9 Changing Facilities</td>
<td>Adequate changing facilities must be provided where necessary.</td>
<td></td>
</tr>
</tbody>
</table>
## ANNEX H&S 4.22/1(Continued) - SUMMARY OF THE MAIN REQUIREMENTS OF THE FOOD SAFETY (GENERAL FOOD HYGIENE) REGULATIONS 1995

<table>
<thead>
<tr>
<th>Schedule and Chapter</th>
<th>Equipment and Facilities</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Schedule 1, Chapter II</strong>&lt;br&gt;Specific requirements in rooms where foodstuffs are prepared, treated or processed (excluding dining areas and those premises specified in Chapter III)</td>
<td>Floors, walls, ceilings and surfaces (which come into contact with food) must be adequately maintained, easy to clean and where necessary disinfect.</td>
<td>Keep all surfaces, fixtures and fittings hygienic, to prevent contamination of food.</td>
</tr>
<tr>
<td>II.1 Rooms where food is actually prepared, treated or processed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>II.2 Cleaning and disinfecting of tools, utensils and equipment</td>
<td>Provide adequate facilities, including hot and cold water, for cleaning and where necessary disinfecting tools and equipment.</td>
<td>Clean and disinfect tools and equipment so as to ensure food safety.</td>
</tr>
<tr>
<td>II.3 Washing of food</td>
<td>Where appropriate provide adequate facilities for washing food. Supply with hot and/or cold water as required.</td>
<td>Wash food properly where necessary.</td>
</tr>
<tr>
<td><strong>Schedule 1, Chapter III</strong>&lt;br&gt;Requirements for moveable and/or temporary premises (such as marquees, market stalls, mobile sales vehicles), premises used primarily as a private dwelling house, premises used occasionally for catering purposes and vending machines</td>
<td></td>
<td></td>
</tr>
<tr>
<td>III.1 Requirements for premises and vending machines</td>
<td>The siting, design and construction must aim to avoid contamination of food and harbouring of pests.</td>
<td>Keep clean and in good repair so as to avoid food contamination.</td>
</tr>
<tr>
<td>III.2(a) Working practices for moveable or temporary premises</td>
<td>Provide appropriate facilities for personal hygiene.</td>
<td>Take all reasonable, practical steps to avoid the risk of contamination of food or ingredients.</td>
</tr>
<tr>
<td>III.2(b) Surfaces</td>
<td>Surfaces in contact with food must be easy to clean and where necessary disinfect.</td>
<td>Take all reasonable, practical steps to avoid the risk of contamination of food or ingredients.</td>
</tr>
</tbody>
</table>
### ANNEX H&S 4.22/1 (Continued) - SUMMARY OF THE MAIN REQUIREMENTS OF THE FOOD SAFETY (GENERAL FOOD HYGIENE) REGULATIONS 1995

<table>
<thead>
<tr>
<th>Schedule and Chapter</th>
<th>Equipment and Facilities</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>III.2(c) and (d) Cleaning of utensils and foodstuffs</td>
<td>Adequate provision must be made for cleaning foodstuffs and the cleaning and <strong>where necessary</strong> disinfection of utensils and equipment.</td>
<td>Take all reasonable, practical steps to avoid the risk of contamination of food or ingredients.</td>
</tr>
<tr>
<td>III.2(e) Hot and cold water supply</td>
<td>An adequate supply of hot and/or cold potable water must be available.</td>
<td>Take all reasonable, practical steps to avoid the risk of contamination of food or ingredients.</td>
</tr>
<tr>
<td>III.2(f) Waste storage and disposal</td>
<td>Adequate arrangements for storage and disposal of waste.</td>
<td>Take all reasonable, practical steps to avoid the risk of contamination of food or ingredients.</td>
</tr>
</tbody>
</table>

#### Schedule 1, Chapter IV

**Transport**

| IV.1 Containers and vehicles used for the transport of food | Where necessary their design must allow them to be adequately cleaned and disinfected. | Keep clean and in good order to prevent contamination. |
| IV.2 Dedicated containers and vehicles used for bulk transport of food in liquid, granular or powder form | Containers or vehicles used must be reserved for food only and marked as such, when there is a risk of contamination. | Do not use containers or vehicles to transport anything other than food where this may result in contamination. |
| IV.3 Containers or vehicles used for different foods or for both food and non-food products | Where necessary separate different products effectively to protect against the risk of contamination. | Effectively clean them between loads to avoid the risk of contamination. |
| IV.4 Where different products have been carried in the same containers | | |
| IV.5 Minimising the risk of contamination | | Foodstuffs in conveyances or containers must be placed so as to minimise the risk of contamination. |
### ANNEX H&S 4.22/1 (Continued) - SUMMARY OF THE MAIN REQUIREMENTS OF THE FOOD SAFETY (GENERAL FOOD HYGIENE) REGULATIONS 1995

<table>
<thead>
<tr>
<th>Schedule and Chapter</th>
<th>Equipment and Facilities</th>
<th>Actions</th>
</tr>
</thead>
</table>
| **Schedule 1, Chapter V**
   Equipment requirements | Articles, fittings and equipment that can come into contact with food shall be made of such materials and maintained so that they, and the surrounding areas, can be kept clean and where necessary disinfected. | All equipment and surfaces that come into contact with food must be kept clean. |
| **Schedule 1, Chapter VI**
   Food waste | | |
| V1.1 Food and other waste | | |
| V1.2 Containers for food and other waste | Containers must be able to be closed unless the environmental health services are satisfied that this is not appropriate. They must be kept in good condition and *where necessary* be easy to clean and disinfect. | |
| V1.3 Arrangements for the storage and removal of refuse | Refuse stores to be designed and constructed to be easily cleaned and prevent pests gaining access. | Arrange for the proper periodic removal of the refuse and keep the area clean, and protect against pests and contamination generally. |
| **Schedule 1, Chapter VII**
   Water supply | | |
| VII.1 Water supply | There must be an adequate supply of potable (drinking) water. | *Where necessary*, for food safety, use potable water to prevent contamination. |
| VII.2 Ice | *Where appropriate*, ice must be made from potable water to prevent contamination. Ice should be stored and handled carefully to protect it from contamination. |
### ANNEX H&S 4.22/1 (Continued) - SUMMARY OF THE MAIN REQUIREMENTS OF THE FOOD SAFETY (GENERAL FOOD HYGIENE) REGULATIONS 1995

<table>
<thead>
<tr>
<th>Schedule and Chapter</th>
<th>Equipment and Facilities</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Schedule 1, Chapter VIII</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal hygiene</td>
<td></td>
<td></td>
</tr>
<tr>
<td>VIII.1 Personal hygiene</td>
<td>Food handlers must wear suitable clean and where appropriate protective clothing.</td>
<td>Everyone in a food handling area must maintain a high level of personal cleanliness.</td>
</tr>
<tr>
<td>VIII.2 Infected food handlers</td>
<td></td>
<td>No one suffering from or a carrier of a disease which could be transmitted through food should work in a food handling area.</td>
</tr>
<tr>
<td><strong>Schedule 1, Chapter IX</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provisions applicable to foodstuffs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>IX.1 Raw materials</td>
<td></td>
<td>No raw materials or ingredients should be accepted if known or suspected of being contaminated and which would still be unfit after normal sorting or processing.</td>
</tr>
<tr>
<td>IX.2 Protection of raw materials from contamination</td>
<td></td>
<td>At any stage of the business operation food must be protected from contamination likely to render it unfit for human consumption.</td>
</tr>
<tr>
<td><strong>Schedule 1, Chapter X</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>X.1 Training</td>
<td></td>
<td>All food handlers must be supervised and instructed and/or trained in food hygiene matters to a level appropriate to their job.</td>
</tr>
</tbody>
</table>

*Where Appropriate* and *Where Necessary* mean for the purposes of ensuring the safety and wholesomeness of food.
LOCAL EXHAUST VENTILATION SYSTEMS

Local Exhaust Ventilation (LEV) systems are systems which:

• use extract ventilation to prevent or reduce the level of airborne hazardous substances from being breathed by people in the workplace;

• draw pollutants away from processes or operations likely to release hazardous substances into the workplace air; and/or

• consist of inlets such as hoods, slots, booths or cabinets placed round or close to the points of release of the substances connected via ducting to fan or air mover inlets. Extracted air is usually discharged to the atmosphere or returned elsewhere in the workplace, after cleaning to make it safe for release.

PMS are most likely to come into contact with LEV systems through battery charging rooms but they can also include vehicle exhaust systems, vehicle examination pits, woodworking and other machinery extraction systems, fume cupboards, spray booths, etc.

The COSHH Regulations requires that employees should not be exposed to substances hazardous to health, where reasonably practicable, failing which, the substances themselves should be controlled adequately. The supporting Approved Code of Practice (ACOP) lists ways in which this control can be achieved. The Regulations further lay down that any control measures taken must be maintained in efficient working order, be in a good state of repair and be examined and tested at least once every 14 months.

HSE guidance notes HSG37 “An Introduction to Local Exhaust Ventilation” and HSG54 “Maintenance, Examination and Testing of Local Exhaust Ventilation” provide further information and advice on LEV systems and on their operation, servicing and maintenance and PMs are recommended to read them to ensure that they are aware of their legal requirements and of the actions they may take to ensure compliance with the legislation.

PMS should ensure that they have effective systems in place for recording information on the examination and testing of LEV systems and for ensuring that any faults detected are rectified promptly. The ACOP lists in detail the information to be recorded in respect of each examination and test. HSG54 gives further specific guidance on this issue. It is recommended that the maintenance, examination and testing should be carried out by someone who has no direct responsibility for the routine maintenance of the plant to ensure an independent view, though this could be a member of staff with the recognised competencies.
What should you do?

1. Establish whether you have responsibility for any LEV systems.

2. Establish whether you have the necessary regime in place for the operation, servicing and maintenance of LEV systems and that the work is carried out by an ‘independent’ tester.

3. Ensure you have in place effective systems in place for the correct recording of examinations and testing in accordance with the ACOP.

4. Consult your Premises Adviser as necessary.
H&S 5.0  FIRE INCIDENT RECORDING

Every year a number of fires occur on the Civil Estate and it is important that all such events are recorded in order to:

- analyse the cause of fire;
- monitor losses which may need reporting to the National Audit Office, or for Treasury returns or possible Parliamentary question purposes; and
- analyse year on year trends.

Departments have full responsibility for the management of their estate and therefore have a duty to establish recording and reporting procedures for incidents and losses on their estate. Local Authority Fire Services complete reports on every fire incident that they attend, for their own records, and also for Home Office statistical purposes. The resulting data does not distinguish between fire incidents on Government and non-government premises and cannot, therefore, be used to produce statistics for the Government Civil Estate. PACE CAU, therefore, maintains a central record of such incidents for the Civil Estate. Departments should inform the CAU using the form “Report of Fire Occurrences in Civil Government Buildings”. A sample blank report form is provided at the Annex to this section.

The fire service report is very important as it gives information on the likely cause and ignition source, together with an assessment of the extent and cost of the damage. Such information is also vital for use when completing the report for the CAU. Where possible, a copy of the site service report should be obtained as soon as possible after the fire incident. (Local Authority Fire Services may make a charge for providing copies of their reports.)

What should you do?

1. Establish Departmental recording and reporting procedures for fire incidents and losses.
2. Where possible, obtain a copy of the Local Authority Fire Service Report.
3. Complete the Report of Fire Occurrences in Civil Government Buildings and send it to PACE CAU.
ANNEX H&S 5.0/1 - REPORT OF FIRE OCCURRENCES IN CIVIL GOVERNMENT BUILDINGS

Please tick ☐ where applicable.

1. **GENERAL REMARKS**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>1.1 Name(s) of Occupying Department(s):</td>
<td>........................................................................................................................................</td>
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<td>........................................................................................................................................</td>
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<td>........................................................................................................................................</td>
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<tr>
<td>1.2 Address:</td>
<td>........................................................................................................................................</td>
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<td>........................................................................................................................................</td>
</tr>
<tr>
<td></td>
<td>........................................................................................................................................</td>
</tr>
<tr>
<td>1.3 Date and time fire occurred:</td>
<td>........................................................................................................................................</td>
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<tr>
<td></td>
<td>........................................................................................................................................</td>
</tr>
<tr>
<td>1.4 Was the fire discovered by:</td>
<td></td>
</tr>
<tr>
<td>occupier</td>
<td>☐</td>
</tr>
<tr>
<td>automatic fire detector</td>
<td>☐</td>
</tr>
<tr>
<td>public</td>
<td>☐</td>
</tr>
</tbody>
</table>
### LOCATION OF FIRE

#### 2.1 Type of premises:

- office
- laboratory
- storage
- Law Court
- workshop
- other (specify)

#### 2.2 Location of fire in building

- Location of fire in building

#### 2.3 Where did the fire start?

- on roof
- other external source
- room
- external fittings
- roof (void)
- other (specify)

#### 2.4 If in an office, was the location of the fire in an area which was:

- cellular
- open-plan
- mixed

#### 2.5 Was the building:

- occupied
- vacant
- under construction/refurbishment
3. **METHOD OF EXTINGUISHING FIRE**

3.1 Were automatic fire extinguishing systems installed?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
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<tbody>
<tr>
<td>☐</td>
<td>☐</td>
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</table>

Did they work?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
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</thead>
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<tr>
<td>☐</td>
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</table>

Reason for failure:

<p>| |</p>
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</table>

3.2 Please describe the methods used to fight the fire:

a. **before the arrival of the Fire Brigade:**

<p>| |</p>
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<thead>
<tr>
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b. **by the Fire Brigade:**

<p>| |</p>
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</table>
### 4. FIRE DAMAGE

**4.1 Please describe the damage caused by the fire:**

- **a. to the item ignited first:**
  
- **b. to the room of the outbreak:**
  
- **c. elsewhere on the floor of outbreak:**
  
- **d. elsewhere in the building of outbreak:**
  
- **e. elsewhere:**
  
**4.2 Please indicate the total area damaged:**

- **(a) in the buildings:**
  
- **(b) not in the buildings:**
### 4. FIRE DAMAGE (Contd.)

<table>
<thead>
<tr>
<th>4.3</th>
<th>Extent to which occupation of the building is affected:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>4.4</th>
<th>Likely cause of fire:</th>
</tr>
</thead>
<tbody>
<tr>
<td>smoking</td>
<td>☐</td>
</tr>
<tr>
<td>flame</td>
<td>☐</td>
</tr>
<tr>
<td>spark</td>
<td>☐</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>4.5</th>
<th>Casualties:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fatal</td>
<td>...................................................</td>
</tr>
<tr>
<td>Seriously injured</td>
<td>...................................................</td>
</tr>
<tr>
<td>Minor injuries</td>
<td>...................................................</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4.6</th>
<th>Estimated cost:</th>
</tr>
</thead>
<tbody>
<tr>
<td>-</td>
<td>Government Loss</td>
</tr>
<tr>
<td>-</td>
<td>Holder</td>
</tr>
</tbody>
</table>

| Building |
| Contents |
| Total |

*Note: The submission of this report should not be delayed solely to complete this section. When firm estimates are received they should also be forwarded.*
5. **OTHER DETAILS**

<table>
<thead>
<tr>
<th></th>
<th>Action taken to prevent recurrence of fire:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>............................................................................................................................</td>
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<td></td>
<td>............................................................................................................................</td>
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</tbody>
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<table>
<thead>
<tr>
<th></th>
<th>History of previous fires at these premises:</th>
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A copy should also be sent to Central Advice Unit, PACE, Trevelyan House, 30 Great Peter Street, London SW1P 2BY. Telephone: 0171 271 2833
### 6. OFFICER COMPLETING REPORT

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H&S 6.0  FIRE PRECAUTIONS TO BE TAKEN BY CONTRACTORS DURING WORKS

A checklist of fire precautions to be taken by contractors when carrying out works in Crown Property is included in the Standard Fire Precautions for Contractors Engaged on Crown Works (available from the Stationery Office).

Note: At the time of writing, this guidance is being revised.

P Ms should ensure by means of regular inspection that contractors are adhering to the fire precautions specified. (See FSG for further information.)

What should you do?

1. Ensure that regular checks are carried out to confirm compliance with fire precautions.

2. Take advice from your Premises Adviser as appropriate.
EMERGENCY PLANNING AND PROCEDURES

PMs should ensure that suitable and sufficient risk assessments are carried out in accordance with Departmental policy to determine the possible or probable risk of emergencies such as fire, bomb threats, explosion, etc. Where it is considered necessary, well thought out and rehearsed contingency plans should be put in place and measures taken to ensure that such are communicated to and fully understood by all staff and contractors.

General guidance on this subject is contained in the PACE Business Continuity Planning Guide (BCPG) but emergency planning for safety in the event of fire is covered in the FSG and for lift breakdowns in PMR 11.0.

Whatever the emergency situation, the matter of prime importance is the safe, rapid and orderly evacuation of staff, contractors and visitors to safe areas. Planning for such incidents will normally include the following:

• **Risk Analysis** (in consultation with Police and Departmental Security Officer) to check the need for:
  - security alarms, CCTV, etc;
  - security staff/patrols;
  - floor/area wardens or other key staff;
  - changes to building structure or details (eg to avoid insecure areas);
  - improvements to/signing of escape routes;
  - emergency lighting; and
  - procedure for recording presence of visitors to the building at any time.

• **Implementation:**
  - advice to staff regarding alarms, escape routes, states of vigilance, etc;
  - training of key personnel (floor wardens, etc);
  - rehearsals of evacuation procedure, including searches for staff, visitors and contractors and confirmation of safe evacuation; and
  - checking first aid provisions.
• **Review:**

- checking on any problems found during rehearsals and modifying procedures, etc to overcome them.

**What should you do?**

1. Ensure that risk assessments are carried out by Competent Persons to identify potential emergencies.

2. Ensure that contingency plans are in place or identify potential emergencies and such are trialled/tested to determine their effectiveness.

3. Ensure contingency plan details are circulated on a regular basis and are subject to periodic review.
H&S 8.0  ACCIDENT REPORTING AND FIRST AID

It is probable that other members of staff will have responsibilities for the reporting of accidents and rendering of first aid. However, PMs should be fully aware of the legal requirements, conversant with the Department's procedures and ensure that all staff are informed of the accident reporting and first aid arrangements.

Legislation

The Social Security (Claims and Payments) Regulations 1979 require injured workers to report accidents and employers to investigate and keep records of reported accidents. The main requirements of these Regulations are outlined below.

Requirements on Workers

Injured workers, or persons acting for them, must give the employer specific details of accidents for which DSS benefits may be claimed.

Particulars required need be no more than:

• full name, address and occupation of injured person;

• date and time of accident;

• place where accident happened;

• cause and nature of injury; and

• name, address and occupation of person giving the notice, if other than the injured person.

Requirements on employers to investigate the circumstances of every accident reported

Employers with more than ten workers, or with areas covered by the Factories Act 1961, must keep an accident book of an approved form, eg BI 510. The accident book should be readily accessible and records must be kept for a minimum of three years.
Accidents which cause fatal or major injuries or lead to an individual being incapacitated from their normal work for a period of more than three days (including non-work days) have to be notified to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 1995. The Regulations also cover a range of occupational diseases and a number of prescribed dangerous occurrences. PMs should become familiar with the RIDDOR requirements and ensure that their Department’s accident/incident reporting arrangements include the following instructions.

**Death or major injury**

If there is a death or an accident connected with work and:

- your employee or a self-employed person working on your premises is killed or suffers a major injury (including as a result of physical violence); or
- a member of the public is killed or taken to hospital;

the Department must notify the HSE without delay (eg telephone). They will ask for brief details about the Department, the injured person, and the accident; and within ten days the Department must follow this up with a completed accident report form (F2508).

**Over-three-day injury**

If there is an accident connected with work (including an act of physical violence) and your employee, or a self-employed person working on your premises, suffers an over-three-day injury, the Department must send a completed accident report form (F2508) to the HSE within ten days.

NB. An over-three-day injury is one which is not major but results in the injured person being away from work or unable to do their normal work for more than three days (including non-work days).

**Disease**

If the Department receives a notification from a doctor that an employee suffers from a reportable work-related disease, then a completed disease report form (F2508A) must be sent to the HSE.
Dangerous occurrence

If something happens which does not result in a reportable injury, but which clearly could have done, then it may be a dangerous occurrence and must be reported immediately (eg by telephone) to the HSE.

Within ten days the Department must follow this up with a completed accident report form (F2508).

(See HSE guidance for definitions of major injuries and a full list of reportable dangerous occurrences and reportable diseases.)

Records of any reportable injury, disease or dangerous occurrence must include the date and method of reporting, the date, time and place of the event, personal details of those involved and a brief description of the nature of the event or disease. Records may be kept in paper format or on computer.

The Health and Safety (First Aid) Regulations 1981 and the Approved Code of Practice provide guidance on the nature and level of first aid facilities that should be available within Departments. However, the Regulations are not explicit but make recommendations based on the numbers of persons employed and the nature of the work undertaken (levels of risk). Hence, PMs should ensure that risk assessments are undertaken to determine what level of first aid provision is adequate and appropriate in their Department’s circumstances. Advice may be obtained from BMI Health Services Regional Service Centres or from HSE. The general provisions required may include all, or some, of the following:

- first aid box or boxes (as prescribed);
- rest room or first aid room (with facilities as prescribed); and/or
- first aiders (numbers to be appointed in accordance with the risk assessment guidance available from BMI Health Services).

What should you do?

1. Implement a suitable system for the reporting of accidents, incidents and ill-health within your Department’s property and ensure that this is communicated to all concerned.

NB: Claims for compensation for injury from staff, contractors, visitors, and others are dealt with in different ways and the PM should ensure that the Department’s policy is clear and/or seek advice on this subject BEFO RE any claims arise. It is important that all claims are investigated promptly.
2. Ensure that the specific requirements of the Social Security (Claims and Payments) Regulations 1979 and RIDDOR 95 with respect to recording and reporting of accidents, incidents and ill-health are complied with.

3. Advise Trade Union appointed Safety Representatives and/or Representatives of Employee Safety of any reported accidents, incidents or ill-health.

4. Ensure that all reported accidents, incidents and cases of ill-health are investigated and appropriate measures taken to prevent a recurrence, if at all practicable.

5. Be aware of the first aid arrangements operating in the Department's property and review periodically the risk assessments to check that these remain adequate and are appropriate.

6. Where the Department shares first aid facilities with another Civil Service organisation, ensure that the agreement is formally documented and that it is copied to all interested parties.

7. Obtain copies of the following publications, available from HSE Books, which provide appropriate guidance:


   - Everyone's guide to RIDDOR 95. HSE31 ISBN 0 7176 1077 2 - Single copies of the leaflet are available free of charge.

   - F2508/F2508A pad of forms for completion in connection with RIDDOR 95 ISBN 0 7176 1078 0 - Priced item.


   - Basic advice on first aid at work. IND(G)215 ISBN 0 7176 1070 5 - Single copies of the leaflet are available free of charge.
H&S 9.0 **HEALTH AND SAFETY ALERT SYSTEM**

The Civil Estate Health & Safety Alert System (H&SAS) was established by the PACE CAU with the purpose of ensuring incidents and near misses with significant H&S implications are brought to the attention of Departments, thereby minimising the risk of recurrence. The system provides a mechanism by which Departments report H&S related incidents and accidents to CAU who analyse and alert all Civil Estate Departments of such occurrences quickly.

H&SAS is not intended as a replacement for departmental systems or procedures for reporting, recording, or analysing accidents and dangerous incidents in premises for which they have responsibility. Departments should, in accordance with legal requirements, have their own systems for reporting, recording, and analysing H&S related incidents and accidents, as it is their responsibility as employers to ensure appropriate action is taken to prevent such accidents or incidents from recurring.

Under the H&SAS, accidents and incidents reported by Departments will be investigated and analysed by the CAU, independent of any action the reporting Department takes, in collaboration with the reporting Department. If it is considered necessary (and with the reporting Department’s approval) a Health and Safety Alert Notice will be issued to all Departments by the CAU.

The basic criteria for an incident/accident to be reported are:

- it must involve a significant risk to the health and safety of staff, visitors, and contractors;
- the hazard must be specific, not generic, i.e., ‘wet floors are dangerous’ would not meet the criteria; and
- the hazard must have a reasonable possibility of recurring in other Department’s properties.

**What should you do?**

1. Follow the guidance given above.
2. Become conversant with the CAU H&SAS.
3. Subject to departmental procedures and guidelines, report incidents using the PACE H&SAS form at Annex H&S 9.0/1.
## ANNEX H&S 9.0/1 - ACCIDENT/DANGEROUS OCCURRENCE REPORT FORM

### HEALTH AND SAFETY RELATED ALERT SYSTEM

**When completed this form should be returned to:**

**PACE Central Advice Unit**  
Fifth Floor  
Trevelyan House  
26 - 30 Great Peter Street  
LONDON SW1P 2BY

Advice may be obtained from the Central Advice Unit at the above address.  
Tel: 0171 271 2833; Fax: 0171 271 2715

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### ACTIONS TAKEN

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THE PREMISES
MANAGER’S REMIT
PMR 4.0  WASTE MANAGEMENT AND DISPOSAL

PMR 4.1  RESPONSIBILITIES, COLLECTION AND DISPOSAL

ANNEX PMR 4.1/1 DUTY OF CARE: CONTROLLED WASTE TRANSFER NOTE

PMR 4.2  LITTER AND REFUSE

PMR 4.3  RECYCLING

PMR 4.4  KITCHEN WASTE

PMR 4.5  FLUORESCENT LAMPS AND DISCHARGE LAMPS

PMR 4.6  SPECIAL WASTE

PMR 4.7  ASBESTOS WASTE

PMR 4.8  RADIOACTIVE WASTE

ANNEX PMR 4.8/1 MAIN REGIONAL OFFICES OF THE ENVIRONMENT AGENCY/SCOTTISH ENVIRONMENTAL PROTECTION AGENCY/NORTHERN IRELAND OFFICE

PMR 4.9  CLASSIFIED WASTE

PMR 4.10  SANITARY TOWEL DISPOSAL

PMR 5.0  SECURITY

PMR 5.1  GENERAL SECURITY

PMR 5.2  ELECTRONIC AND PHYSICAL SECURITY EQUIPMENT AND SYSTEMS

PMR 5.3  CARETAKING AND CUSTODY SERVICE

PMR 5.4  COUNTER TERRORIST MEASURES

PMR 5.5  DAMAGE TO GOVERNMENT PROPERTY

PMR 5.6  LOSS OR THEFT FROM PROPERTY
PMR 6.0  FURNITURE AND LOOSE EQUIPMENT
PMR 6.1  General
PMR 6.2  Provision and Procurement
PMR 6.3  Care and Maintenance
PMR 6.4  Removal
PMR 6.5  Security Equipment
PMR 6.6  Office Machinery and Equipment
PMR 6.7  Central Computer and Telecommunications Agency
PMR 6.8  Disposal of Office Machinery and Equipment

PMR 7.0  STORAGE OF MATERIALS

PMR 8.0  CATERING
PMR 8.1  Scope of Service
PMR 8.2  Providing the Service
PMR 8.3  Performance Measurement

PMR 9.0  HAZARDOUS MATERIALS
PMR 9.1  COSHH Regulations
PMR 9.2  Asbestos

PMR 10.0  SMOKING POLICY

PMR 11.0  LIFT FAILURES

PMR 12.0  TELEVISION RECEIVER LICENCES
PMR 13.0  SNOW CLEARANCE

PMR 14.0  VEHICLE/CYCLE PARKING

PMR 15.0  BUSINESS CONTINUITY PLANNING

PMR 16.0  CEREMONIAL PROCEDURES
    PMR 16.1  VISITING DIGNITARIES

PMR 17.0  FLAG FLYING
    PMR 17.1  FLAG FLYING ON APPOINTED DAYS AND SPECIAL OCCASIONS
    PMR 17.2  OCCASIONS ON WHICH FLAGS ARE TO BE FLOWN AT HALF MAST
    PMR 17.3  OCCASIONS ON WHICH DAYS FOR FLYING FLAGS IN FULL COINCIDE WITH DAYS FOR FLYING FLAGS AT HALF MAST
    PMR 17.4  CURRENT DAYS FOR HOISTING FLAGS ON GOVERNMENT BUILDINGS

PMR 18.0  REQUESTS FOR INFORMATION, FILMING AND PHOTOGRAPHY

PMR 19.0  VACANT PREMISES
HELP DESK ARRANGEMENTS

PMs and their staff will be the normal focal points for requests for assistance, advice or complaints from their Departments’ staff, visitors and the public regarding the property’s condition and temperature control, poor lighting, etc. However Premises Advisers or their maintenance contractors may be better placed to investigate such complaints and to deal with them. It is important, therefore, that a clear strategy for dealing with all such requests or complaints is established and that PMs, Contractors, Premises Advisers, etc are nominated as the contact points for help, complaints or comments and that all occupants of the premises are aware of this. (Maintenance Contractors are employed, usually by Premises Advisers rather than PMs to address or correct faults reported and for carrying out routine maintenance and repair work, from planned programmes for lamp replacement to dealing with heating or plumbing faults, for example. The Contractor may cover individual or several premises.)

PMs should also be aware that their responsibilities do not just begin with a reaction to a particular situation or incident: they should seek to avoid such situations or incidents arising in the first place through taking a pro-active approach to premises management through regular inspections of their premises, planned preventative maintenance programmes and so on.

In buildings where a Building Management System (BMS) is installed, it will be an advantage if the nominated focal point has access to a terminal and can monitor conditions and alarms indicating condition failures.

In JO Bs, such matters should be agreed by the House Committees.

It is also important for all complaints or requests for assistance to be monitored and investigated so that a clear picture be established regarding any trends or repetitive events (eg cold on Monday morning, after Bank Holidays, etc). This information will assist maintenance contractors in establishing the causes of the problems.

Departments may find it beneficial to use ‘Newsletter’ type bulletins to staff to make them aware that individual complaints, especially on heating, have been made and have been/are being addressed.
What should you do?

1. Establish focal points for queries, requests for assistance or complaints.

2. Ensure that, if a BMS is in place, it is managed by a specialist trained in its use.

3. Monitor requests for assistance and complaints and feed back to your Maintenance Contractor and your Premises Adviser.
INTRODUCTION

Concerns are often raised about the number of complaints of discomfort and ill-health from staff employed in certain buildings, particularly those that do not have the benefit of being naturally lit and ventilated. These complaints may also be linked to a higher incidence of sick leave - usually because of minor illnesses and sub-clinical symptoms - than would normally be expected in similar populations of working people.

The guidance below indicates how the indoor working environment can affect the health, safety and welfare of staff and discusses the standards that should be adopted to ensure optimum working conditions.

Room Dimensions and Space

General space requirements are set out in the Workplace (Health, Safety and Welfare) Regulations 1992. Work rooms should have enough free space to allow people to get to and from their workstations and to move within the room with ease. The number of people who may work in any particular room at any one time will depend not only on the size of the room, but on the space taken up by furniture, fittings, equipment and on the layout of the room.

Work space per person is calculated by dividing the total volume of the room when empty by the number of people normally working in it. The minimum volume is 11 cubic metres (all or part of a room over 3.0 m high should be counted as 3.0 m high) and may prove to be insufficient if, for example, much of the space is taken up by furniture or other equipment. The minimum volume may need, therefore, to be increased in such cases to give sufficient unoccupied space as required by the Regulations. Also, where space is limited, careful planning of the workplace is particularly important; for example, moveable screens and dividers in open plan areas can create privacy but care should be taken to ensure that the screens do not cut out natural light, affect airflow or induce a feeling of claustrophobia.
Cleanliness and Waste Materials

Every workplace and the furniture, furnishings and fittings should be kept clean, as should the surfaces of floors, walls and ceilings. Cleaning and the removal of waste should be carried out as necessary by appropriate effective methods. Waste should only be stored in suitable receptacles and separated for recycling/disposal.

Further guidance on cleaning can be found at PMR 3.0.
The attitude of staff to their thermal environment may depend on their perception of being too hot, too cold or comfortable. Most staff are aware that there is a legal minimum temperature requirement of 16°C unless much of the work involves severe physical effort, in which case the temperature should be at least 13°C. (There is no maximum temperature prescribed in health and safety legislation.) These temperatures refer to readings taken using an ordinary dry bulb thermometer, the availability of which is required by the ACOP of the Workplace Regulations.

The temperature readings are normally taken close to workstations, at working height and away from windows. However, it is appreciated that a temperature of 16°C may not ensure reasonable comfort for staff who spend most of the day at a desk. Accordingly, PMs may find it useful to establish temperature guidance based on the principle that at least 80% of the persons who occupy the particular environment will find it acceptable or ‘comfortable’.

In making such a judgement, it should be appreciated that there are four important factors to be considered, these are:

- air temperature;
- radiant temperature;
- air humidity; and
- rate of air movement.

While the first initial check on the standard may be made by using an ordinary dry bulb thermometer, it may be necessary to carry out further readings using a sling psychrometer (whirling hygrometer); and if there are particular problems associated with radiant heat, by the use of a globe thermometer.

BS7179:1990 Ergonomics of Design and Use of Visual Display Terminals (VDTs) in Offices. Part 6: Code of Practice for the Design of VDT Work Environments suggests that the ambient room temperature should be between 19°C and 23°C. For jobs which involve extensive periods of seated work, the difference between the temperature at floor level and that at head height should not exceed 5°C. The heat build-up in areas around equipment should not exceed 3°C above the ambient level.
It should be noted that some buildings that are not adequately protected from solar gain or have no artificial cooling may, during the summer months, exceed the values quoted for some of the time. The incidence of thermal discomfort in these circumstances can be reduced by tackling the solar gain and improving ventilation.

If temperatures are outside the range quoted, especially above 26°C, it is likely that approximately 20% of healthy people occupying the area will start to experience some degree of discomfort, the common symptoms being complaints of tiredness, lack of concentration and headaches. In addition, if the relative humidity levels are below 30% there will be an increase in the number of complaints associated with eye, nose and throat irritation.

**Humidity**

Humidity has relatively little effect on thermal comfort at ordinary room temperatures, but extremes are to be avoided. It is usually measured as a percentage of the moisture that would completely saturate air at the existing temperature. While no specific standards are prescribed by law, the ideal relative humidity (RH) of air for comfort is in the range of 55-65% though the range of 40-70% is usually considered acceptable. Above and below these limits there appears to be an increased tendency to ill-effects. The symptoms of low RH, as described previously, may be due to the reduced level of protection provided by the mucus system as drying out occurs. Exceptionally high RH (above 70%) causes discomfort as heat control by sweating is impaired. Humid conditions may also lead to excessive mould growth on walls, stored goods and documents and once the mould has grown there is a potential for mould spores to induce respiratory sensitivity.

In buildings with mechanical ventilation systems (air conditioning) artificial humidity is often provided by water spray or (preferably) by steam humidifiers. While increased humidification, especially during the use of artificial heating systems, will reduce the number of complaints associated with dry air and, in some instances, complaints associated with exposure to static electricity, its installation use and subsequent maintenance has to be carefully monitored by a competent person to ensure the avoidance of contamination by microorganisms which may result in outbreaks of humidifier fever and/or legionnaires disease.
Humidity control is expensive to install after a building which was not properly designed for natural ventilation has been constructed. Hence, any source of humidity will help to avoid the effects of a dry atmosphere. The provision of large house plants/foliage arrangements which transpire moisture into the air, may act as filters reducing the concentration of some chemicals such as formaldehyde emitted from chipboard carbonless copying paper, foam, trichorethylene, benzene and carbon dioxide. Plants and foliage are considered to have an aesthetic/calming effect. Bowls of water placed in a safe position and left to evaporate or lightly spraying the carpet with a fine water mist will help, especially in short periods of extreme low temperature during the heating season.

The implementation of a sound environmental policy will minimise the risk of low humidity.

**Ventilation**

The final factor to be considered with regard to thermal comfort is adequate ventilation and the rate of air movement. The legal requirements for which also contained in the Workplace Regulations and the associated ACO P. The general principle is that “effective and suitable provision shall be made to ensure that every enclosed workplace is ventilated by a sufficient quantity of fresh or purified air”.

The air which is introduced should, so far as is reasonably practicable, be free of any impurity which is likely to cause ill health or be offensive. Air taken from the outside may generally be considered fresh but air inlets or ventilation systems should not be sited where they may draw in contaminated air eg close to a flue, an exhaust ventilation system outlet or an area where vehicles manoeuvre.

It may be necessary to filter inlet air to remove particulate contaminates. For mechanical ventilation systems which re-circulate air, the design should be such that re-circulated air can be filtered adequately to remove any impurities. Purified air should also have some fresh air added to it prior to re-circulation, so the system design should ensure fresh air inlets are kept open.

Detailed guidance on ventilation design is provided in BS5720, BS5925 and in the information available from the Chartered Institution of Building Services Engineers (CIBSE). However, it should be borne in mind that a comfortable level of ventilation is a very subjective assessment in that some people prefer to work near an open window while others consider any perceptible air movement to be a draught.
Airflow below 0.2 metres per second is imperceptible and an airflow in excess of 0.4 metres per second will be considered a draught by a lightly clothed sedentary worker. At this level the airflow is quite noticeable although it may not be enough to disturb the papers on a desk. The sensation of being in a stream of strong blowing air will mean that the airflow rate is more than 1.0 metre per second.

When assessing ventilation, it is useful to remember that air blown inwards from an inlet will travel much further before it diffuses into the general air movement than the distance over which an extract ventilation grill will have a measurable effect. Accordingly, it is important to site workstations to avoid draughts from inlet air vents but less so with extract vents.

The minimum amount of fresh air to keep the atmosphere comfortable depends on the level of occupancy in the building and the production of heat or fumes from any processes carried out. In offices where natural ventilation is not an option, a mechanical ventilation system will normally be adequate if it conforms with the following standards:

- There should be a minimum fresh airflow of 8 litres per second per person in no smoking areas, and a flow rate of 32 litres per second per person where heavy tobacco smoking may occur.

- An area with an airflow velocity in excess of 0.25 to 0.35 metres per second would be considered as draughty, and less than 0.1 metres per second as stagnant. Unless temperatures are extreme, air velocities should normally be in the region of 0.1 to 0.15 metres per second, and up to 0.25 metres per second during the summer.

- Rooms housing machinery such as photocopiers, and rest rooms where smoking is allowed, should be examined in regard to the need for separate extract ventilation systems.

- Air inlets for the ventilation systems should be sited to avoid introducing pollution from outside the building. In circumstances where there have been a number of complaints of discomfort, a simple assessment of the ventilation system can be carried out by measuring the carbon dioxide concentrations when the workplace is at maximum occupancy. For example, if levels in excess of 1,000 ppm are measured, this may indicate unsatisfactory ventilation, thus prompting the need for a more detailed investigation by a Competent Person.

- All air conditioning systems should be installed, commissioned and subsequently inspected and maintained in accordance with the manufacturers’ instructions. Any faults should be reported immediately to PMs who, if there is cause for concern about air quality, or uncertainty about sources of odour, dust, or other pollutants, may wish to consider the value of an air quality survey, including spot checks for key pollutants.
Ionisers and/or Air Purification Devices

Ionisers are portable devices which emit a stream of negative ions, and the manufacturers often claim all sorts of health benefits. Current research has not substantiated any of these claims. It is accepted that ions, both positive and negative, may exert some influence on comfort and wellbeing, but several studies have shown that ion generating machines have no major effect on the working environment and the people in it; air movement generated by a simple fan may be equally effective and less costly.

Lighting

A primary requirement for any workplace is that suitable and sufficient lighting should be installed and maintained in accordance with the requirements of the:

- Workplace (Health, Safety and Welfare) Regulations 1992:
- Health and Safety (Display Screen Equipment) Regulations 1992; and

Further guidance on lighting can be found at PMR 2.8.

What should you do?

1. Establish whether your premises meet at least the minimum environmental standards described in this Section.

2. Consult your Premises Adviser as necessary on any remedial actions identified or areas of concern.
COMPLAINTS ABOUT INTERNAL ENVIRONMENT TEMPERATURES

The Workplace (Health, Safety and Welfare) Regulations 1992, require that a thermometer should be placed in a conspicuous place on every floor of the building and staff should be permitted to use this to check the temperature of the room in which they work. When staff check the temperature in their room they should ensure that the thermometer is positioned on an internal wall or partition where temperatures will be representative of internal conditions ie not just adjacent to windows or in direct sunlight.

In judging whether or not a complaint is justified, PMs should ensure that:

1. Temperature reading is correct; it should be checked with a separate thermometer which should be kept in reserve and in good condition. Further guidance should be obtained from Premises Advisers if required;
2. Any room controls for the heating system are set at the appropriate temperature (or turned off if the complaint is of overheating); and
3. All windows and doors, including internal doors, are firmly closed.

In buildings where the landlord is responsible for heating, a complaint should be registered if the landlord is not fulfilling obligations.

What should you do?

1. Provide thermometers to monitor room temperatures.
2. Check complaints for justification.
3. Check for obvious causes of complaint.
4. Ensure that the landlord is informed of heating system defects, if responsible under the terms of the lease.
5. Verify the correct setting/functioning of BMS/control systems.
6. Check boiler pumps, etc are maintained and functional.
PMR 2.4  **SOLAR AND HEAT GAIN**

Complaints will sometimes arise about summer overheating caused by solar gain. If prior investigations have shown that any shading devices already provided are being used correctly, professional advice may be required.

**PMs** should ensure that venetian blinds are lowered and in the shut position overnight to reduce heat gain in rooms prior to occupation in the morning. They should also ensure that the blinds are not interfered with outside normal working hours by cleaning or security staff. **PMs** should similarly ensure that equipment such as personal computers, photocopiers, drinks machines, etc are not left on unnecessarily leading to heat gain.

It is common for complaints of high summer temperatures and excessive noise to result in requests for double-glazing and mechanical ventilation or air conditioning to be provided. This should be considered only after all other options, eg seeking professional advice on improving shading to reduce solar gain (ie mechanical shading, reflective films, blinds, etc) moving function to another room, passive cooling, etc have been considered. It should always be kept in mind that such occurrences will be usually of very short duration. The options considered should be subjected to risk assessments. For example, when considering passive cooling, the hazards of trailing leads and additional electrical loadings should be considered and moving staff to other rooms could imbalance the existing air conditioning settings. **PMs** should consult their Premises Advisers as necessary.

Further advice on heating and ventilation can be found at PMR 2.1 - 2.7.

**What should you do?**

1. Advise staff regarding correct use of shielding.

2. Ensure all heat-producing equipment is switched off at night unless it has to be switched on continuously for operational or other reasons.

3. Take specialist advice from your Premises Adviser as appropriate.

4. Consider all options before requesting building or services modifications.
SUPPLEMENTARY AND TEMPORARY HEATING

Where the existing heating system is unable temporarily to achieve the standards and there are substantial and justified complaints of cold conditions, interim improvement should be provided by an approved method of supplementary heating where possible. The use of electricity for space heating will have a significant negative impact on building energy efficiency. In leased property, where the landlord is responsible for heating, the terms of the lease will define the room temperature to be maintained and the action to be taken when the temperature falls below that level. Where the lease is based on the provision of room temperatures lower than the agreed standard and there are substantial and justified complaints of cold conditions, every effort should be made to persuade the landlord to provide heating to the agreed standard. Failing this, the provision of supplementary heating and measures such as draught proofing and improved thermal insulation may be considered.

The following are typical instances where temporary heating might be justified:

- a breakdown in the main system, a close down for repairs or conversion, or a local shortage of fuel supplies;
- in premises leased for a very short period, where heating is inadequate or non-existent or, in partially occupied premises where the main system cannot be brought into operation immediately;
- where a limited number of rooms are being occupied during a normally closed period (e.g. for weekend working) and it would not be economic to run the main system; or
- where the existing heating system is unable to achieve the standard and there are substantial and justified complaints of cold conditions.

Supplementary heating would normally be by portable heaters, the two main types of which are described below. Portable heaters should not be used on a permanent basis to supplement main systems in areas where acceptable standards are not being met unless all other possible steps have been taken.
**Electric Heaters**

When electric heaters are supplied, the following should be noted:

- ensure that auxiliary heating will not overload the electrical system;
- convection heaters are more economical and quieter than fan heaters;
- take account of possible infringement of maximum demand tariff ceiling;
- alterations to circuitry or socket outlets should not be undertaken without first consulting Premises Advisers and, in any case, would be uneconomical given that this is a short term solution;
- trailing leads are a safety hazard; and
- very inefficient for space heating.

**Liquid Petroleum Gas (LPG) Heaters**

The use of liquid petroleum gas (LPG) heaters should be restricted severely because of the fire and explosion hazards arising from the presence of LPG cylinders in a building. It is strongly recommended that PMs do not purchase LPG heaters. Only those personnel authorised by the PM should operate LPG heaters. For LPG heaters, adequate ventilation is essential to ensure correct combustion in the appliance and minimise the risk of condensation or indoor pollution.

For all heaters, PMs should ensure that:

- they are operated properly by staff and not misused;
- there is an adequate ventilation supply and that this remains unimpeded;
- air flow through the units themselves is not impeded in any way;
- combustible materials are kept at a safe distance from the heaters; and
- provision is made for the safe storage of spare cylinders.

Reference should also be made to the PACE Fire Safety Guide.

Further advice on heating and ventilation can be found at PMR 2.1 - 2.6.
What should you do?

1. Confirm the justification for the additional heating.

2. Comply with all safety requirements.

3. Take advice from your Premises Adviser regarding safety aspects of supplementary heating i.e. electrical circuit capacity, ventilation, etc before supplying supplementary heaters.
Where heating is required outside normal working hours the following guidelines may be used:

- overtime - when official overtime requiring additional heating is necessary, this should be provided as economically and efficiently as possible. It may be by extending the heating period if the building is largely occupied or by the use of portable appliances where only a few people are working;

- flexible working hours - generally speaking, where a bandwidth of ten hours is operating, heating should be provided for nine hours and, where the bandwidth is eleven hours, heating should be provided for ten hours. Departments should determine for themselves the costs of and the level and method of heating to be provided for people working very early or very late, from choice;

- unofficial activities out of hours - PMs should consider charging for heating space used for recognised social activities outside normal working hours; and

- the implications for achieving the energy performance targets should be understood.

PMs should also be aware of the need to plan for those occasions outside normal hours when extreme adverse weather conditions are forecast and premises need to be heated during these hours to avoid damage to the fabric. They should confirm whether they are able and have authority to override the heating control settings themselves or whether outside assistance is required, eg from their maintenance contractors.

Further advice on heating and ventilation can be found at PMR 2.1 - 2.6.

What should you do?

1. Be conversant with Departmental regulations regarding heating and the policy for charging for unofficial activities.

2. Ensure that arrangements are in place for out of hours working.

3. Confirm who has authority to alter heating control settings and prepare a contingency plan for out of normal hours heating during extreme adverse weather conditions, if necessary.

4. Be aware of the negative effect on energy targets.
MECHANICAL VENTILATION AND AIR CONDITIONING

The traditional way of ventilating a building is by opening windows and this is still the preferred method wherever practicable. However, this is not always feasible or practicable, for example in rooms which have no access to external air or in which opening windows would permit the entry of unacceptable levels of noise or fumes. The guidelines for the provision of mechanical ventilation are laid down in the PACE RO B.

Buildings with comfort air conditioning often provide a higher incidence of staff complaints than buildings heated and ventilated by traditional methods, due to poor design or maintenance. Also, the installation, operation, maintenance costs and energy consumption of air conditioning can be substantially higher than other regimes and the CFC coolants used in some, usually older systems contribute towards depletion of the ozone layer. Moreover, there is evidence to associate inadequately maintained wet cooling systems, common in air conditioning installations, with outbreaks of Legionella. Further information and advice on the management and control of Legionella can be found at H&S 4.11.

Departments should consider very critically the justification for air conditioning and obtain professional advice. They should examine thoroughly the alternatives in particular the effective management of solar gain by looking at the need for the operation itself, the way it is carried out, the location of the operation, the design and organisation of the property, the selection of equipment, and, if the justification for air conditioning is accepted, making sure that the system installed uses the best practicable technology for ensuring ease of maintenance and limitation of damage to the environment by the use of non ozone depletors and high level of energy efficiency.

In buildings where air conditioning is provided, PMs should take care to ensure that their Premises Advisers specify that contractors follow the installers operating instructions and issue guidance to property users accordingly. In general, it is important that the windows and doors to conditioned spaces are not left open so as to upset the balanced operation of the system. Open windows and doors in summer may overload the refrigeration plant and may seriously affect conditions within the property. PMs should monitor temperatures in conditioned areas to ensure that wasteful overheating or overcooling does not occur.
PMs should be able to confirm the regular treatment and testing of the water in wet cooling systems associated with air conditioning. Mechanical ventilation, in preference to full air conditioning, should normally be provided where fresh air supplied by natural means is insufficient for example, in rooms which have no access to external air, or undesirable, for example where natural ventilation would permit the entry of unacceptably high levels of dirt and noise.

Further advice on heating and ventilation can be found at PMR 2.1 - 2.6.

**What should you do?**

1. Avoid specifying mechanical ventilation or air conditioning.

2. Seek advice from your Premises Adviser before any decision is taken to install mechanical ventilation or air conditioning system.

3. Advise staff on sensible use of systems and avoidance of waste.

4. Check and seek advice on compliance with legislation and regulations regarding use, operation and maintenance of any wet cooling towers, etc.

5. Check compliance with appropriate standards/ Codes of Practice for ozone depletors.
Practical Guidance on Lighting at Work is contained in the HSE Publication HS(G)38 with more technical guidance for designers contained in the CIBSE Code for Interior Lighting and the more specific Code LG31989 dealing with areas for visual display terminals.

The various Regulations and Guidance make reference to the advantage of natural light. However, the size and design of many buildings and their use outwith daylight hours is such that a satisfactory lighting standard is usually achieved by a combination of both natural and artificial lighting.

At the most basic level, satisfactory lighting (illuminance) levels are required to enable staff, visitors and members of the public to both enter and move about the premises in safety; this being particularly important in regard to stairs and traffic routes. However, the standard of illuminance required for a given location or activity depends on a number of variables, including general considerations and the visual efficiency required for the particular task. The unit of illuminance is the ‘Lux’ which equals one lumen per square metre. The term ‘lumen’ is the unit of luminous flux, describing the quantity of light received by a surface or emitted by a source of light.

A range of light-measuring instruments are available. These are photo-electric devices which consist of a photo-cell (which converts light to an electric current) connected to a moving coil meter which indicates the current as Lux. The most suitable type for workplace measurements should have a range of 0-2,500 Lux with the photo-cell separate from the meter but connected via a length of cable. This arrangement allows the meter to be read without the observer over-shadowing the cell. Manufacturers instructions should, of course, be followed in the care and use of instruments, including any correction required to cover a wide range of lamps and daylight.

Light meters can be used in conjunction with the minimum levels specified for different activities as listed in the HSE document HS(G)38 Lighting at Work to determine if levels are appropriate in particular circumstances. For example, illuminance in the immediate vicinity of a VDU can be as low as 100-150 Lux but is normally between 300-500 Lux, thereby allowing reference documents to be read easily.
PMs dealing with complaints about poor lighting may have to request a lighting survey by a Competent Person, but the starting point may be talking to staff occupying the rooms in question to establish their subjective feelings about the lighting levels and whether any discomfort is being experienced. Any of the following factors, either individually or collectively, can give rise to visual fatigue:

- inadequate illuminance;
- too great a contrast;
- disability and discomfort glare;
- incorrect orientation of luminaires, and
- flicker from fluorescent lamps.

The lack of a general feeling of wellbeing within the environment is also covered in the section on Thermal Comfort. Under Regulation 8 of the Workplace (Health, Safety and Welfare) Regulations 1992, provision must be made for suitable and sufficient lighting, either natural or artificial. Legislation also advises that natural lighting is preferable and should be provided wherever practicable. PMs should ensure, therefore, that the best possible use of natural light is made in the arrangements of office desks. Departments are responsible for ensuring that the following standards are maintained or that similar standards are provided in buildings where the landlord is responsible for lighting. In Crown-occupied premises, the Annex to this section lists lighting levels which are operational targets which PMs should aim to achieve. Note that Premises Advisers should always be consulted before any changes are made to lighting layouts or fittings.

The standards listed in the Annex to this section relate to average values over the working plane which is normally at desk or table level. Where the precise height and location of the task cannot be specified exactly, the illuminance is to be provided on a horizontal plane 0.85m above floor level. In the case of entrance halls, waiting rooms, lavatories, staircases, corridors, lift lobbies and lifts, the standard of illuminance is required at floor level.

These standards are neither initial maxima nor ultimate minima but related to the ‘average through life’ output of the light sources. They assume an average standard of cleaning of the luminaires, the furnishings and the building fabric.

Where required, supplementary local lighting may be provided for quiet rooms, chalk boards, kitchen equipment, mirrors, etc.
The PACE ROB indicates that it will often be preferable to provide fairly modest methods of background illumination, supplemented by local task lighting using compact fluorescent lamps (CFLs).

Departments are responsible for replacing defective lamps (tubes and bulbs) and for their safe disposal as well as for maintaining and cleaning luminaires. It is more economical to replace lamps in batches, even where they have not yet failed. In addition to savings on labour costs of replacing individual lamps, lamps which are nearing the end of their lives consume more energy and provide poorer quality lighting levels. CFLs are five times more efficient than tungsten/GLS bulbs. The environmental and cost benefits (around £50 per bulb over its life) are well documented. PMs are, therefore, recommended to institute a planned programme for lamp changes that will improve efficiency and reduce costs. The Ministry of Defence's Disposal Sales Agency (DSA) has a “call off” contract for the recycling of spent fluorescent tubes from the Government Estate and PMs are recommended to contact the DSA on 0171 261 8926 for advice on how they can make best use of this contract.

Particular attention to lighting should be paid in offices where VDUs are in use. As a general rule it is recommended that VDUs are placed at right angles to the natural light source to minimise glare. Lighting levels should be 300 - 350 lux with a limiting glare index of 16. Further information can be obtained from the Chartered Institute of Building Services Engineers (CIBSE) Technical Memorandum No.6 - Lighting for Visual Display Units. The subject is also covered in the joint CCTA/CCSU report entitled “Ergonomic factors associated with the use of VDUs”, published in 1988. Specific guidance, using less technical language, is contained in the HSE publication “Lighting at Work” and in BS 7179 “Ergonomics of design and use of VDTs in offices - Part 6: Code of Practice for the design of VDT work environments”.

PMs should liaise with cleaning contractors to ensure that cleaning staff do not use unnecessary lighting during office cleaning as the tariff rates applicable during the usual cleaning period - ie after working hours, are very high and is a significant waste of electricity.

Departments may wish to consider charging contractors for energy consumed, by inserting appropriate conditions into their contracts.

In the event of a breakdown in the electricity supply, PMs must make arrangements for maintaining a safe level of lighting and should keep a stock of torches, etc as necessary.
What should you do?

1. Obtain advice from your Premises Adviser where lighting levels are being questioned.

2. Ensure local task lighting is available where appropriate.

3. Establish a lamp replacement regime that improves efficiency and reduces costs.

4. Consider using the DSA contract for disposing of your spent fluorescent tubes.

5. Ensure that best use of daylight is made.

6. Consider relocation of VDUs, etc where possible to overcome lighting problems.

7. Make provision for lighting in emergencies.
## ANNEX PMR 2.8/1 - LIGHTING LEVELS FOR CROWN-OCUPIED PREMISES

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Illuminance (Lux)</th>
<th>Limiting glare Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cleaners - staff rooms</td>
<td>175</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>sculleries</td>
<td>125</td>
</tr>
<tr>
<td>Cloakroom</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>Common rooms</td>
<td>125</td>
<td>16</td>
</tr>
<tr>
<td>Computer installations</td>
<td>300 - 500</td>
<td>16</td>
</tr>
<tr>
<td>Conference Rooms</td>
<td>350</td>
<td>16</td>
</tr>
<tr>
<td>Corridors</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>Drawing offices - general</td>
<td>350</td>
<td>16</td>
</tr>
<tr>
<td></td>
<td>work surface</td>
<td>525</td>
</tr>
<tr>
<td>Drying rooms</td>
<td>175</td>
<td>-</td>
</tr>
<tr>
<td>Entrance halls</td>
<td>175</td>
<td>-</td>
</tr>
<tr>
<td>Enquiry rooms</td>
<td>175</td>
<td>-</td>
</tr>
<tr>
<td>First aid rooms</td>
<td>350</td>
<td>16</td>
</tr>
<tr>
<td>Libraries - reading area</td>
<td>350</td>
<td>16</td>
</tr>
<tr>
<td></td>
<td>shelves</td>
<td>100</td>
</tr>
<tr>
<td>Lifts</td>
<td>100</td>
<td>-</td>
</tr>
<tr>
<td>Lift lobbies</td>
<td>175</td>
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</tr>
<tr>
<td>Light studios - general</td>
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<td>16</td>
</tr>
<tr>
<td></td>
<td>work surface</td>
<td>525</td>
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<tr>
<td>Machine rooms</td>
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<tr>
<td>Messengers work rooms</td>
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### ANNEX PMR 2.8/1 (continued) - LIGHTING LEVELS FOR CROWN-OCUPIED PREMISES

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Illuminance (Lux)</th>
<th>Limiting glare Index</th>
</tr>
</thead>
<tbody>
<tr>
<td>Messrooms</td>
<td></td>
<td></td>
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<tr>
<td>- dining area</td>
<td>125</td>
<td>-</td>
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<tr>
<td>- kitchen area</td>
<td>225</td>
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<td>Quiet rooms</td>
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<td>Reception rooms</td>
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<td>Recreation rooms</td>
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<tr>
<td>- dining area</td>
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<td>-</td>
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<tr>
<td>- kitchen</td>
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<td>25</td>
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<tr>
<td>Sandwich rooms</td>
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<td>Staircases</td>
<td>125</td>
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<tr>
<td>Storage rooms</td>
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<td></td>
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<tr>
<td>- Cleaners &amp; Maintenance</td>
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<td>- Furniture &amp; equipment</td>
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<td>-</td>
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<tr>
<td>- Food</td>
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<td>- Stationery, shelves</td>
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<td>-</td>
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<td>- Stationery, desks</td>
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<td>- Wastepaper</td>
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<td>Training lecture rooms</td>
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<td>19</td>
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<tr>
<td>Typing pools</td>
<td>350 - 500</td>
<td>16</td>
</tr>
<tr>
<td>Waiting rooms</td>
<td>175</td>
<td>-</td>
</tr>
</tbody>
</table>
SITING OF OFFICE EQUIPMENT

Concerns are often raised regarding the siting and potential environment problems associated with typical items of office equipment eg photocopiers, fax machines, printers etc. The safe design, installation, maintenance and use of the items concerned is covered by the Provision and Use of Work Equipment Regulations 1998 and the Control of Substances Hazardous to Health Regulations 1994. Whenever it is proposed to install or resite any heavy items of furniture, eg filing cabinets, safes, machines, etc, PMs must first obtain advice from their Premises Advisers regarding the adequacy of the building floor loading. Where floors are insufficiently strong, remedial measures can often be applied, but must be specified professionally.

In order to avoid ‘nuisance’ complaints, PMs should ensure that the following health and safety measures are adopted:

- all items of office equipment should be purchased and/or leased from a reputable supplier and subject to routine servicing/maintenance by a competent person. A log book should be kept providing a record of the regular checks undertaken, including the replacement of any consumables eg ozone filters;

- a sound environmental specification for office equipment will minimise the health risks and ensure efficient performance. Some photocopiers and lasers printers emit/produce ozone and this could present a significant risk if the equipment is housed in an enclosed area and operated for relatively long periods. Wet copiers may also produce solvent vapours which could prove troublesome. Irritants such as ammonia are often used in machines for copying plans/drawings and likewise these can be emitted into the office environment. Hence, all such equipment should be sited in a well-ventilated room eg one in which the doors and windows are opened regularly or, alternatively, where appropriate local extract ventilation is provided. If staff have to share space with a photocopier, laser printer etc, the room should be large enough to ensure that the exhaust ventilation from the equipment does not exit directly towards the workstation. (Any stream of warm air, whether it contains particulate contaminants and/or is free from other pollutants, directed into the face of an employee will be a source of nuisance and may cause health problems eg watering eyes, dry skin and general discomfort);
in order to ensure that office equipment operates efficiently and does not overheat, it is essential that adequate space is provided around the machine. Guidance on minimum clearance requirements, together with access for servicing/maintenance arrangements, should be sought from the supplier and/or manufacturers of the equipment concerned. The locating of equipment should have full regard for the associated heat load to ensure an additional requirement and cost of cooling/ventilating is not created inadvertently;

occasionally and, in particular, where items of equipment are regularly used for protracted periods, staff may complain about the level of noise generated by the operation and/or by the personnel concerned. Although the level of noise emitted is unlikely to exceed the action levels contained within the Noise at Work Regulations 1989 (see H&S 4.15), it is likely to be a nuisance factor affecting concentration and/or possibly communications. In order to minimise problems of this nature, the PM should ensure that, where practicable, noisy items of equipment are sufficiently distanced from workstations and/or surrounded by appropriate acoustic enclosures; and

contamination of the office environment may arise during the replacement of toner cartridges and replenishment of developing solutions. PMs should ensure that sufficient information, instruction and training is given to staff nominated to undertake this task and that appropriate safe systems are in place to deal with any spillages, disposal of hazardous substances and that adequate first aid information is readily available.

What should you do?

1. Obtain advice from your Premises Adviser on floor loadings and proposed locations of heavy furniture or equipment.

2. Ensure all items of office equipment are subject to routine servicing/maintenance and that a log book is kept of regular checks undertaken.

3. Avoid siting office equipment in confined, poorly ventilated areas or close to dedicated workstations.

4. Evaluate the nature/frequency of usage of items of equipment and consider the possible ‘nuisance’ impact on staff working in the area.

5. Check and seek advice on compliance with health and safety Regulations regarding the provision and use of work equipment and COSHH.
PMR 3.0  CLEANING AND HYGIENE

PMR 3.1  INTRODUCTION

This section provides guidelines on the cleaning of Departmental office-type property (mainly offices), including furnishings, equipment, windows, carpets etc. It should be read in conjunction with any Departmental instructions on office cleaning.

Departmental Responsibilities

Departments (usually the Holders in the case of Jointly Occupied Buildings) are normally responsible for office cleaning.

Cleaning is usually done by contract and this section includes details of procedures and documentation. The role of PMs in supervising the contract is also covered, together with advice on materials and equipment and environmental issues.

Certain types of cleaning contracts, for carpets and, for bomb-blast curtains in London only, can be arranged through TBA. Details appear below in the relevant sections. Services are provided by locally-based accredited contractors and are fully guaranteed. TBA can also provide a cleaning and renovation service for venetian blinds.

Leased Property

In property shared with non-Crown occupants, the landlords may be responsible for the cleaning of common parts such as entrance halls and spaces, the cost being included in the service charge.
CONTRACT CLEANING

Contracts normally provide for a fixed term of three years, with provision for a price review to take account of increases in rates of pay and related increases in employer’s National Insurance contributions. It is for PMs to ensure that all the cleaning services which are required are included in the contract.

It should not normally be necessary to alter the recommended cleaning frequencies as detailed in Annex PMR 3.2/1. A programme for periodic cleaning services should be obtained from contractors within six weeks of letting the contract. Contractors must inform Departments daily of progress being made on the periodic work. Regular written summaries should be obtained and pursued as necessary.

Contractors are required to provide details of hours worked in an attendance book signed by each cleaner. These attendance books should be examined at least once a week and any apparent irregularities pursued - eg the same handwriting appearing against more than one name, or a serious shortfall in hours worked. The books may help in monitoring the general levels of performance, but need to be controlled closely.

Where cleaning is carried out under contract, it is essential that PMs maintain good liaison with occupants and any staff supervising the work directly.

PMs should bear in mind that the provisions of the Health and Safety at Work, etc Act 1974, subsequent legislation and the Departmental Environmental Objectives apply to cleaners and their activities. PMs or their representatives should watch out in particular for slippery floor surfaces which may result in an accident. All cleaners should be aware of their responsibilities under the Act. Other legislation may also be applicable, for example, COSHH and environmental requirements in relation to the use of cleaning materials such as bleaches, toilet cleaners or floor polishes and the Electricity at Work Regulations 1989 in respect of electrically-powered cleaning equipment.

Responsibilities

Day to day responsibility for ensuring that office cleaning is carried out in accordance with the standards and frequencies laid down in the relevant specification is normally delegated to PMs, assisted by Office Keepers, where employed. Guidelines on the cleaning frequencies and acceptable standards of cleanliness are given in Annex PMR 3.2/1.
Strict supervision of cleaning services is essential at all times. Cleaning supervisors are employed by contractors to undertake this and it is important that all staff should take an active interest in the cleaning arrangements and draw their PMs’ attention to any cleaning which is not up to standard.

In premises where classified material is housed or there are computer equipment rooms, it may be necessary to control the entry and exit of cleaners and provide for their supervision in certain areas.

PMs should consider the security needs in association with their DSOs where necessary.

PMs should ensure that all cleaners and especially those working at night, are fully conversant with the procedures to be followed in the case of fire or other incident and that they follow the fire precautions laid down in the PAC E Fire Safety Guide, together with the procedures for reporting such incidents as laid down by the individual Departments.

Regular Inspections

Regular inspections of cleaning work should be carried out, daily if possible, but not less than once a week, during which the standard of work achieved should be checked against the cleaning specifications. Particular attention should be paid to checking that periodic tasks have been carried out in accordance with the time schedule and to the standard specified.

The checklist included at Annex PMR 3.2/1 may assist PMs in carrying out these inspections. It lists, in alphabetical order for ease of reference, the recommended frequencies for each type of property/furniture/equipment and the performance standards which should be achieved to meet the Specification.

PMs should report as soon as possible any deficiencies in the standard of cleaning revealed during these inspections to the Cleaning Supervisor or to the contractor as appropriate and should make sure that any necessary remedial action is taken. If it is found the tasks are consistently not being done or that the standard of cleaning is regularly below that specified, more serious measures may be necessary, for example, withholding payment or even terminating the contract.
**Surprise Inspections**

Experience has shown that good results are obtained when regular inspections are followed up by periodic inspections carried out personally by PMs. These should be of a surprise nature and should take place at irregular intervals, not greater than every two months, while the cleaners are still at work. Particular note should be made of the cleaning methods being employed and of the use of cleaning equipment and materials. A check should also be made to ascertain that the methods used ensure the minimum use of office lighting during cleaning operations. If the cleaning is undertaken outside normal office hours, this will involve attendance either early in the morning or late in the evening and PMs should make appropriate arrangements.

PMs should, in consultation with the supervisor or contractor, correct any faults, omissions or misunderstandings about the operation or interpretation of the cleaning Specification. They should also take the opportunity to establish a friendly working relationship with the cleaners, by passing on to them the compliments as well as the criticisms of the office staff about the quality of the cleaning services and by listening to, and endeavouring to deal with, any complaints or suggestions the cleaners might raise in the course of conversation. Instructions should however not be given direct to cleaners. This should be done via the Cleaning Supervisor.

**Staff Participation**

To help maintain standards, a copy of the relevant specification should be readily available to members of the staff so that they may take an informed interest in the cleaning of their property. PMs should encourage staff to report any examples of poor cleaning, especially if these are persistent.

Members of staff should also be encouraged to assist the work of the cleaners in their own offices by keeping them tidy and as free from clutter as possible. Cleaning Supervisors should be encouraged to report to PMs or Office Keepers cases of persistently untidy rooms or areas which are hindering the work of the cleaners.

Where staff are working on a 'flexitime' basis, PMs should make arrangements with them to ensure that cleaners are able to carry out their duties during the allotted time.
Jointly Occupied Buildings

Where buildings are occupied by two or more Departments, the one responsible for the cleaning of the building (normally the Holder) should provide a representative of each of the other occupying Departments with a copy of the Specification to enable them to check that the standard of cleaning provided in their areas conforms. Any problems can be discussed at meetings of the House Committees.

Office Cleaning Materials and Equipment

The cleaning contractor is responsible for the provision of all plant, equipment and cleaning materials necessary for the proper execution of the work. Care should be taken to ensure that only the correct materials are used, especially for the cleaning of sanitary appliances. Abrasive scouring powder should not be used since investigations have shown that it can cause severe damage to the appliances. Acid based cleaners should in no circumstances be used for daily cleaning since not only can they cause damage to the appliances themselves, but they may result in severe injury to the staff using them without special protection and can, if combined with certain other materials, cause the emission of noxious gases.

Cleaning materials, equipment and protective clothing used for the cleaning of toilets should not be used for the cleaning of any food-handling areas, sinks, drinking-water points or tea stations and should be stored separately in secure storage.

PMs are reminded of the requirement for implementing environmental initiatives, including the use of certain cleaning materials. CFC and solvent-based products and heavily pollutant cleaning materials should be avoided. Further advice is available in the DETR Environmental Action Guide and from the DETR website.

Energy Efficiency

PMs should check the situation regarding the use of lighting where cleaning is carried out at night and ensure that provision is made for reducing waste of electricity. This may be done by inserting a contract condition, for example, that only one floor should be illuminated at a time or by metering night time use in order to recoup from the contractor the cost of energy used.
Water

The cleaning contractor should be required to report on leaks (dripping taps, etc) and blocked drains.

What should you do?

1. Check for Landlord’s responsibility.
2. Use model documentation in establishing cleaning contracts.
3. Specify service carefully.
4. Supervise cleaning in sensitive areas of the premises.
5. Inspect regularly, using checklist.
6. Use surprise inspections.
7. Involve staff.
8. Liaise with other occupiers.
9. Check for use of unsuitable cleaning materials.
10. Ensure energy usage is minimised.
## Annex PMR 3.2/1 - Contract Cleaning: Performance Standards

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Artificial plants</td>
<td>Monthly</td>
<td>Light dust on surfaces</td>
<td>Thick dust and dirt marks</td>
</tr>
<tr>
<td>Ashtrays</td>
<td>Daily</td>
<td>Free from stains and permanently fixed solids</td>
<td>Black encrustations; ingrained nicotine</td>
</tr>
<tr>
<td>Balustrades</td>
<td>Weekly</td>
<td>Light dust in corners on horizontal surfaces</td>
<td>Thick dust and dirt smears, particularly in corners and decorative parts</td>
</tr>
<tr>
<td>Cabinets up to height of 1675mm</td>
<td>Weekly</td>
<td>Finger marks, particularly around the handle area of doors and drawers</td>
<td>Polish build-up and accumulation of dirt around base or feet</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Relatively free of dust</td>
<td>Accumulation of dust on top of cabinets</td>
</tr>
<tr>
<td>Cabinets above height of 1675mm</td>
<td>Monthly</td>
<td>Slight dust</td>
<td>Accumulation of dust on top of cabinets</td>
</tr>
<tr>
<td>Captive Towel Machines</td>
<td>Daily</td>
<td>Dust free</td>
<td>Visible dust on all surfaces, particularly the top</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Light finger markings only around towel feed area</td>
<td>Finger marks clearly visible over whole area</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Other marks, eg splashes, smears</td>
</tr>
<tr>
<td>Carpets</td>
<td>Daily</td>
<td>Daily soilage and litter resulting from the business of the office, eg paper clippings and other debris around the working area and in the traffic lanes</td>
<td>Layer of dust within pile; build up of fluff and dirt and deposits of other debris under desks, etc, around the edges of furniture, in corners and edges of rooms and other areas difficult of access; dried spots and stains which are removable and treatable</td>
</tr>
<tr>
<td></td>
<td>Special</td>
<td>Non-removable stains, cigarette burns</td>
<td>Matted pile</td>
</tr>
</tbody>
</table>
## ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chairs</td>
<td>Daily</td>
<td>Metal or wooden parts dust free</td>
<td>Visible dust</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Little evidence of darkening of back, seat and arms</td>
<td>Accumulation of dust in fabric</td>
</tr>
<tr>
<td></td>
<td>Special</td>
<td></td>
<td>Ingrained dirt</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Marks and smears on chair frames</td>
</tr>
<tr>
<td>Cisterns, pipes and fittings</td>
<td>Daily</td>
<td>Splash marks Free from dust</td>
<td>Dust, grime, verdigris, rust or run marks</td>
</tr>
<tr>
<td>Desks and Tables</td>
<td>Daily</td>
<td>Indelible liquid stains; other discolouration</td>
<td>Smear marks</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Litter resulting from the business of the office</td>
<td>Grime and ingrained dirt deposits</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Heavy finger marking particularly on and around handles and drawer areas</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dulled wooden surfaces</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Floor polish stains and water marks around the base resulting from floor cleaning</td>
</tr>
<tr>
<td>Doors (including kicking plates, etc)</td>
<td>Daily</td>
<td>Light finger marks around door handles</td>
<td>Visible dust</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Scuff marks on bottom of doors and other marks caused by contact with trolleys Dust free</td>
<td>Smears and other marks</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Old polish around the bottom of doors</td>
</tr>
<tr>
<td>Draining Boards</td>
<td>Daily</td>
<td>If of stainless steel, shiny appearance with no more than recent superficial stains</td>
<td>Residue of food and beverage soilage round edges, ledges and corners</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Recent splash marks and liquid stains</td>
<td>Smeared and slimy surface</td>
</tr>
</tbody>
</table>

**Cleanling and hygiene**

The Premises Manager’s Remit
## ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fire appliances up to a height of 1675mm</td>
<td>Daily</td>
<td>Dust free</td>
<td>Visible dust, smears, stains and finger marks</td>
</tr>
<tr>
<td>Glass/Glazed surfaces except windows and internal glass</td>
<td>Weekly</td>
<td>Finger marks, Smears</td>
<td>Visible heavy dust, Heavy finger marking and smearing</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Faint layer of dust on horizontal edges</td>
<td></td>
</tr>
<tr>
<td>Handrails up to a height of 1675mm</td>
<td>Weekly</td>
<td>Minor surface smears</td>
<td>Dust</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Slight stickiness and finger marking caused by the traffic of the day</td>
<td>Stickiness, Accumulated grime on underside of rail, Dust and dirt in supports</td>
</tr>
<tr>
<td>Lampshades/desklighting</td>
<td>Daily</td>
<td>Dust free, Inset markings, Tarnishing of fittings, Finger marks, smears and stains</td>
<td>Dust</td>
</tr>
<tr>
<td>Ledges - up to 1675mm</td>
<td>Weekly</td>
<td>Dust and dirt free, Some finger marks</td>
<td>Visible dust accumulation of dirt and debris, particularly in edges and in corners</td>
</tr>
<tr>
<td>Ledges - over 1675mm</td>
<td>Monthly</td>
<td>Light dust</td>
<td>Heavy dust and accumulation of dirt, particularly in corners and on edges, Smear and stain marks</td>
</tr>
</tbody>
</table>
## ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Locker tops/ Lockers up to height of 1675mm</td>
<td>Weekly</td>
<td>Finger marks, particularly around the handle area of doors/drawers</td>
<td>Polish build-up, accumulation of dirt around base or feet, dulled surfaces</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Relatively free of dust</td>
<td>Excessive finger marking/smearing on doors around handles and top edges of drawers</td>
</tr>
<tr>
<td>Above height of 1675mm</td>
<td>Monthly</td>
<td>As above but heavier dusting acceptable</td>
<td>As above but heavier dusting acceptable</td>
</tr>
<tr>
<td>Paper towel dispensers and receptacles</td>
<td>Daily</td>
<td>Dispensers: Relatively free of dust, light finger marking around towel feed area</td>
<td>Dispensers: Visible dust on all surfaces particularly the top, finger marks clearly visible over whole area</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Receptacles: Generally dirty appearance, stains and smears on inside or outside surfaces, build up of dirt around base and over-full</td>
<td></td>
</tr>
<tr>
<td>Pictures and Charts</td>
<td>Weekly</td>
<td>Slight film of dust on edges and glass</td>
<td>Accumulation of dust on upper ledges of frame and back of picture</td>
</tr>
<tr>
<td></td>
<td>3 monthly</td>
<td>Some finger marks and smears</td>
<td>Dust on lower stile, film on glass, heavy finger marking</td>
</tr>
<tr>
<td>Radiators</td>
<td>Daily</td>
<td>Dust free except in not readily accessible areas where dust may be heavy</td>
<td>Dust and grime on accessible surfaces</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Some finger marking Obstinate stains</td>
<td>Accumulated rust, fluff and debris, particularly between divisions</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Easily removable stains, smears and run marks</td>
</tr>
</tbody>
</table>
### ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Pipes up to a height of 1675mm</td>
<td>Daily</td>
<td>Accessible areas free of dust and dirty marks, including polish stains</td>
<td>Dust on easily accessible areas</td>
</tr>
<tr>
<td>Weekly</td>
<td>Light dust on less accessible areas</td>
<td>Heavy dust elsewhere</td>
<td></td>
</tr>
<tr>
<td>2 monthly</td>
<td>Obstinate stains</td>
<td>Smears and marks from floor and wall treatments</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Easily removable stains</td>
<td></td>
</tr>
<tr>
<td>Skirtings</td>
<td>Daily</td>
<td>Relatively dust free Marks which cannot be removed by dusting</td>
<td>Dust and marks due to floor treatments, eg polish stains, mop marks, etc</td>
</tr>
<tr>
<td>Soap dispensers</td>
<td>Daily</td>
<td>Outlet free Shiny state but with some finger marks Splash marks, soap spillage resulting from correct use</td>
<td>Blocked outlet, empty dispenser Dulled surface of chrome or glass Encrusted soap deposits</td>
</tr>
</tbody>
</table>
### ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephones</td>
<td>Daily</td>
<td>Relatively dust free with some finger marking</td>
<td>Visible dust, particularly in accessible places</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Some greasiness and accumulated dirt on handset</td>
<td>Excessive finger marking and greasiness particularly around the buttons</td>
</tr>
<tr>
<td>Urinals</td>
<td>Daily</td>
<td>Shiny spotless appearance having due regard to soilage arising from the day's use and the age and condition of the glazing</td>
<td>Subject to age and condition of urinal, limescale and other deposits under rims, in channels and traps; odours arising therefrom</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Some debris, eg cigarette ends around outlets, but otherwise free from deposits</td>
<td>Removable stains on all glazed surfaces, dust on top edges and dull glazed surfaces</td>
</tr>
<tr>
<td>Vacancy Displays and Poster Boards</td>
<td>Daily</td>
<td>Light dust in corners on horizontal surfaces</td>
<td>Thick dust, dirt and smears, marks from fingerprints</td>
</tr>
<tr>
<td></td>
<td>Monthly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Venetian blinds</td>
<td>3 monthly</td>
<td>Dust layer, stains, some discolouration</td>
<td>Heavy build up of dirt and dust</td>
</tr>
<tr>
<td>Vertical blinds</td>
<td>Monthly</td>
<td>Finger marking</td>
<td>Heavy build up of dirt and dust</td>
</tr>
<tr>
<td></td>
<td>3 monthly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Walls</td>
<td>Monthly</td>
<td>Smears and finger marks, grease, splash and other marks</td>
<td>Visible dust</td>
</tr>
<tr>
<td></td>
<td>3 monthly</td>
<td>Dust free and absence of brush or duster marks</td>
<td>Brush marks</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Clinging dirt</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Cobwebs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Tide marks</td>
</tr>
</tbody>
</table>
## ANNEX PMR 3.2/1 (Continued) - CONTRACT CLEANING: PERFORMANCE STANDARDS

<table>
<thead>
<tr>
<th>Item</th>
<th>Frequency</th>
<th>Acceptable</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wash Basins</td>
<td>Daily</td>
<td>Splash marks, finger marks, soap deposits and puddles resulting from the day's use</td>
<td>Scum and tide marks; removable discolouration on glazed areas; encrusted soap deposits</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Chrome finished taps wholly or predominantly dull having regard to the general age or state of the taps; support, pipes and traps discoloured by ingrained dirt or with a coating of dust; build up of verdigris on metal fittings</td>
</tr>
<tr>
<td>Waste paper receptacles/bins/litter bins</td>
<td>Daily</td>
<td>Day's waste paper or litter, Marks, smears, stains, deposits of dirt in interiors</td>
<td>Malodorous</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dirty marks on exterior</td>
</tr>
<tr>
<td>WCS</td>
<td>Daily</td>
<td>Subject to age and condition, Spotless</td>
<td>Subject to age and condition</td>
</tr>
<tr>
<td></td>
<td>Weekly</td>
<td>Free from dust, stains, marks, hardened deposits except those arising from the day's use</td>
<td>Limescale under rims</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Irremovable stains and discolouration due to the condition of the glaze</td>
<td>Hardened deposits on sides and in the trap</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Stains below water line</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Scratch marks caused by worn brushes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Dirty marks and stains on the outside with dull appearance</td>
</tr>
</tbody>
</table>
SPECIALIST CLEANING

The general premises cleaning contract would normally cover all office areas, entrances, lobbies, toilets, tea points, dining areas (unless included in catering contracts), etc. However, some areas will require specialist cleaning and PMs should identify such areas and establish appropriate regimes for these. Main areas where the general cleaning contract may not apply include:

- windows and frames, etc (see PMR 3.7.1);
- external building fabric, as some specialised materials require special treatment to retain their appearance or integrity and, in some cases, to preserve guarantees. (Stone cleaning, for example, is a specialised field and should be the subject of expert advice);
- boiler rooms, lift motor rooms, plant rooms, tank rooms, riser cupboards (these should be included in Planned Maintenance Contracts which should include for keeping such areas clean and tidy); and
- kitchens and kitchen equipment deep cleans. (Deep cleans should be carried out by specialist contractors or the Planned Maintenance Contractors at intervals to be advised by Premises Advisers and additional to routine cleaning. Further guidance on restaurants, kitchens and mess rooms can be found at PMR 3.6 and H&S 4.22.

Departments may wish to consider establishing cleaning regimes for the specialist cleaning of archives, file stores, depositories and the like, and for dealing with contamination caused by spillages such as blood and other body fluids, chemicals, etc.

Cleaning of Hazardous Material

The cleaning and removal of potentially hazardous waste such as dog excrement, blood, needles, etc should not be undertaken by either PMs or the contracted office cleaners (for health and safety reasons, the cleaners’ equipment or materials must not be used) unless they have been contracted to do so and have received appropriate training. Where such work is not carried out by contracted cleaners, PMs should consider compiling a list of specialised cleaning contractors (the Yellow Pages is a useful source) and procure their services by use of a local purchase order or whatever is the departmental practice.

What should you do?

1. Establish the areas where the general premises cleaning contract does not apply.

2. In consultation with your Premises Adviser, where appropriate, ensure that arrangements for the procurement of specialist cleaning are in place.
CARE AND CLEANING OF CARPETS

It is important that carpets and other soft floor coverings provided by Departments are cared for properly so that the investment in the improvement they afford to the working environment is not lost. Whilst the daily cleaning of carpets should be covered by the office cleaning regime, special arrangements are necessary for other types of carpet and these are outlined below. COSHH and environmental requirements risk assessments should be undertaken for any materials, detergents or other chemicals used for cleaning carpets.

Spot Removal

Small stains and marks arising from, for example, spillage of sugary drinks or ink should be removed from carpets as soon as possible since, if allowed to remain, they will attract further dirt and may cause permanent staining. Daily removal of such stains is covered by the standard office cleaning specification but all PMs may wish to consider holding de-spotting kits (consisting of hand sprayer, chamois leather substitute and liquid detergent) to give early remedial treatment to the affected area. Staff co-operation in reporting spillages without delay to PMs is vital in order to ensure remedial actions can be taken promptly.

Deep Cleaning

If a carpet deep cleaning service is required, PMs must make local arrangements. TBA contracts are available for this purpose. They offer in situ deep cleaning of soft floor coverings by the most appropriate means, including rotary scrubbing, dry foam or water extraction methods. Prices are fully inclusive, irrespective of the number of applications, visits or methods of treatment required to achieve a satisfactory clean. Additional services available include surveys, flood damage renovation, anti-static, pesticide and deodorising treatments.

Co-operation of Staff

PMs should seek the co-operation of the property's occupants, through periodic office services notices to ensure that carpets are maintained in a reasonable condition and that damage is kept to a minimum. Staff can assist by taking precautions to avoid damage, such as burns caused by discarded cigarettes, and by ensuring that spillages are reported promptly to PMs to enable remedial action to be taken as quickly as possible.
The Problem of Static

Soft floor coverings can give rise to the build up of static electrical charge; these can cause minor “shocks” to staff on touching metal fitments or furniture. The effect is more prevalent during dry spells, but may also be experienced in air conditioned buildings where the relative humidity is low. The phenomenon may not only annoy staff but also cause disturbance to sensitive electrical equipment. There are various ways of combatting the problem including anti-static sprays and mats. Specialist assistance may be required and TBA can offer suitable local contracts for the anti-static treatment of carpets. If replacement of existing floor-coverings is appropriate, the TBA catalogue includes anti-static carpeting complying with BS 6654 which is particularly suitable where IT and other electronic equipment is in use. The specification of natural materials for carpets minimises static.

Cleaning of Hazardous Material

The cleaning and removal of potentially hazardous waste such as dog excrement, blood, needles, etc should not be undertaken by either PMs or the contracted office cleaners (for health and safety reasons, the cleaners’ equipment or materials must not be used). PMs should compile a list of specialised cleaning contractors (the Yellow Pages is a useful source) and procure their services by use of a local purchase order or whatever is the departmental practice.

What should you do?

1. Remove stains promptly.
2. Encourage staff to report spillages, etc promptly.
3. Ensure that the provisions of the COSHH Regulations are adhered to and that, specifically, contractors supply PMs with risk assessments for the operations they are appointed to undertake.
4. Consider TBA contracts for deep cleaning.
5. Consider alternatives for avoiding static problems.
6. Put contingency arrangements in place for the cleaning of hazardous materials.
P MR 3.5  LAUNDERING OF BOMB BLAST CURTAINS

Unless stringent conditions are observed when laundering these curtains, irreparable damage may result, necessitating replacement. It is important that the fabric to be laundered is correctly identified so that instructions can be given to the Contractor regarding the correct laundering or dry cleaning process to be used; in some cases instructions will be given on labels attached to the curtains.

As an alternative to independent arrangements, TBA offers a suitable contract for the London area only. The service covers the laundering of weighted polyester net bomb blast curtains, minor repairs to the curtains and the restoration as necessary of curtain rods, brackets, centre hooks, retaining boards and channels. Temporary curtains can be supplied and fitted to provide protection during the laundering period.
RESTAURANTS AND MESS ROOMS

General

Dining areas should be included in the normal daily routine of office cleaning, unless this function is included in the catering contract. Special arrangements may have to be made for the cleaning of kitchens etc because of considerations of security and access whilst catering staff are at work. Further guidance can be found at H&S 4.22 and its accompanying Annex.

The restaurant management will normally be responsible for the following cleaning services:

• day-to-day cleaning of catering equipment including water boilers and apparatus for beverage making (cleaning of external surfaces should be quite distinct from cleaning of food surfaces);

• day-to-day cleaning of kitchens, store rooms and areas of restaurants behind the counter not accessible to departmental cleaners; separation and disposal of rubbish and swill to the point of collection; and

• cleaning and sterilisation of beverage vending machines where these are installed.

Mess Rooms

The cleaning of mess rooms ie. floors, work surfaces, furniture should be covered by the office cleaning specification, but this will not normally include the cleaning of cooking equipment and utensils nor the inside of food storage cupboards or fridges. The responsibility for these aspects of cleaning rests with the members of staff using the mess rooms.

Periodic Cleaning Inspections

To ensure that standards of hygiene are maintained and the health of staff is safeguarded, hygiene inspections should be carried out at least quarterly, including restaurants, mess rooms, tea points and vending machines. These instructions may be carried out by in-house or external specialists, independent of the cleaning contractor.
Local Health Authority Inspections

Local Health Authorities have rights of inspection, under the Food Safety Act 1990, to inspect any premises where food is prepared. PMs are advised to co-operate with them on these inspections.

Deep Cleaning

Deep cleaning of kitchen equipment should be carried out by specialist contractors or the Planned Maintenance Contractors using approved materials at intervals to be advised by Premises Advisers and additional to routine cleaning.

What should you do?

1. Ensure responsibilities are defined clearly.
2. Initiate regular inspections, subject to risk assessments.
PMR 3.7  

**WINDOW CLEANING**

PMR 3.7.1  

**General**

The need to maintain the external fabric or cladding of a building in a sound and clean condition is always of the utmost importance, but particularly so having regard to the comparatively hostile environment found in most United Kingdom towns and cities. A clean and well-maintained building facade makes good economic sense as well as being aesthetically pleasing. Clean windows ensure the maximum available natural light for staff and in, doing so, may well lead to significant savings in lighting energy costs.

It is recommended that windows be cleaned when they are dirty or, at least, at the following frequencies:

<table>
<thead>
<tr>
<th>Location of Building</th>
<th>Ground Floor Windows Facing the Street</th>
<th>All Other Windows</th>
<th>Roof Lights</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cities and Industrial Areas</td>
<td>Every 3 weeks</td>
<td>Every 6 weeks</td>
<td>Every 6 months</td>
</tr>
<tr>
<td>Semi-Industrial Areas</td>
<td>Every month</td>
<td>Every 2 months</td>
<td>Every 6 months</td>
</tr>
<tr>
<td>Non-Industrial Areas</td>
<td>Twice every three months</td>
<td>Every 3 months</td>
<td>Every 12 months</td>
</tr>
</tbody>
</table>

It is recommended that all internal glazing to partitions, screens, etc is cleaned every three months.

Where external glazing is contained in timber, aluminium or PVC frames, ensure that the frames themselves are cleaned periodically. This also applies to any mullions, etc which require regular cleaning. PMs should seek advice from their Premises Advisers if in doubt.

Care must be taken in cleaning frames, mullions, cladding and panels where failure to comply with the manufacturer’s recommendations concerning use of cleaning agents and frequency of cleaning may invalidate warranties.

The building construction and materials used may dictate that other, more specialised, cleaning is required for cladding panels, etc. Advice should be sought from Premises Advisers as appropriate.
**PMs** should ensure that window cleaners do not stand on radiators or radiator shelves and should provide and use protective mats when it is impossible to avoid standing upon internal ledges and desks.

Window cleaning is often ordered directly by **PMs** using the Government form of contract C1303.

**PMs** also bear some Health and Safety responsibilities under the Workplace (Health, Safety and Welfare) Regulations towards staff and contractors as a result of the cleaning operation. Most of this responsibility involves checking (or seeking expert advice) that the facilities provided for cleaners are safe and adequate and that the contractors are familiar with the operation of any relevant equipment before it is used. **PMs** also need to ensure that contractors use any safety equipment or facilities provided by Departments and do not attempt to take any “short cuts”.

**What should you do?**

1. Ensure windows, frames, etc are cleaned sufficiently frequently and in accordance with manufacturers’/installers’ instructions where appropriate.

2. Ensure your contractors use correctly any safety equipment or facilities you have provided.
PMR 3.7.2

**Safe Access**

The Workplace (Health Safety and Welfare) Regulations 1992 and its associated Approved Code of Practice have been phased in since 1 January 1993. They lay down requirements with regards to:

- lighting – in particular the need to provide as much natural light as is reasonably practicable;
- window cleaning – the need to ensure that windows and skylights used for the purpose of lighting are kept clean and free from obstructions, so far as is reasonably practicable;
- falls or falling objects – the need to ensure that physical safeguards are used to prevent persons from falling from a height or persons being struck by falling objects; and
- ability to clean windows, etc safely – the need to ensure that every building, window or skylight is fitted with suitable devices where necessary, to allow the window or skylight to be cleaned safely.

On property where no safe access is provided, window cleaning and facade maintenance should only be undertaken if contractors are able to provide and install an approved and fully tested temporary safe access system. Any attempt to undertake cleaning and maintenance operations without an approved and tested temporary safe means of access will result in a breach of the regulations contained within the above regulations and of the duties imposed by the Health and Safety at Work etc Act 1974.

As a general guide, suitable types of access equipment for a given building height are:

- up to 9 metres high: travelling ladders; hydraulic platforms; balconies or walkways; access towers;
- from 9 metres up 30 metres high: manually operated trolleys with suspended cradles (depending upon length of facade to be maintained, power operation may be recommended); balconies or walkways;
- over 30 metres high:
  - fully power operated trolleys and suspended cradles (manual operation of trolley might be recommended for buildings with a very limited facade length); or
  - cradles with power operated climbing winches suspended from fixed or removable davits/cantilever supports to reach those areas not accessible to fully powered trolleys and cradles.
For properties where existing facilities are not adequate, remedial measures for provision of safe access are as listed below, in order of preference:

1. power operated suspended access equipment;
2. manually operated roof trolley with manual or power operated cradle;
3. permanent roof fixings for removable davits/cantilever support beams;
4. floor mounted manually or power operated access equipment provided by the cleaning contractor;
5. eyebolts for securing window cleaners’ safety lanyards where external surfaces are accessible from within the building, and a degree of over-reach is acceptable; and
6. replacing windows with a type safely cleanable from within the building.

**NB Eyebolts should only be selected as a means of securing safe access for window cleaners after consultation with the Premises Adviser. They should only be fitted by a competent contractor.**

All eyebolts in use are subject to the recommended examination and testing procedures set out in BS EN 795: 1997.

**Examination and testing prior to first use**

The Provision and Use of Work Equipment Regulations 1998 (PUWER), supplemented by the requirements of the Lifting Operations and Lifting Equipment Regulations 1998 (LOLER), lay down requirements with regard to the design, installation, test and examination, operation and maintenance of suspended access equipment. Other access systems are not, in general, covered by specific statutes but the Health and Safety at Work etc, Act 1974 places a general responsibility upon all who design and install plant and equipment to ensure that it is properly tested and examined before being taken into use for the first time.

Upon completion of an installation, and at the prescribed intervals thereafter, the manufacturer or supplier should carry out the tests and examinations which are required, either by specific statute, a general obligation in law or as recognised good practice. The following table shows those items of fixed equipment which are subject to test requirements and indicates the appropriate statutory, British Standard or other requirement reference:
## FIXED EQUIPMENT SUBJECT TO TESTING

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Specific Statute</th>
<th>Other Legal Requirements</th>
<th>British Standard Requirements</th>
<th>Good Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eyebolts for securing window cleaners safety lanyards</td>
<td>Provision and Use of Work Equipment Regulations 1998</td>
<td>Health and Safety at Work, etc. Act 1974</td>
<td>BS EN 795: 1997</td>
<td>Anchorages should be tested in accordance with the requirements of BS EN 795</td>
</tr>
<tr>
<td>Travelling Ladders</td>
<td>Provision and Use of Work Equipment Regulations 1998</td>
<td>Health and Safety at Work, etc. Act 1974</td>
<td>BS 2037:1984</td>
<td>Site tests are not required, but supplier should provide evidence that ladder has been constructed and tested in accordance with the requirements of BS 2037</td>
</tr>
<tr>
<td>Catwalks and permanent traversing staging</td>
<td>Provision and Use of Work Equipment Regulations 1998</td>
<td>Health and Safety at Work etc Act 1974</td>
<td>BS 5395: Part 3: 1985</td>
<td>No tests are required but installers should provide evidence that staging and walkways have been designed in accordance with the requirements of BS 5395</td>
</tr>
</tbody>
</table>
Where site tests required by statute, or are necessary to satisfy the generality of the Health and Safety at Work, etc Act 1974 or as simple good practice, these should first be undertaken by the manufacturer or supplier to its own satisfaction. The tests should then be repeated in the presence of the owner/occupier and/or those who are responsible for the management of the property and the appointed Competent Person.

The Competent Person will witness the tests and undertake a thorough examination of the equipment before it is taken into service for the first time. A Test Certificate and covering report will be issued by the Competent Person when the tests and examination have been completed satisfactorily.

The equipment manufacturer or supplier should provide the building occupier/owner, or those responsible for the management of the building, with copies of the Certificates for any tests undertaken at manufacturers’ or suppliers’ works.

*It is a requirement under Regulation 6(1) of the Management of Health and Safety at Work Regulations 1992 that a Competent Person assists the employer in the compliance with relevant statutory provisions.

Regulation 6(5) of the Management of Health and Safety at Work Regulations 1992 states that “A person shall be regarded as competent ... where he has sufficient training and experience or knowledge and other qualities properly to undertake the measures referred to in Regulation 6(1) himself.”

**What should you do?**

1. Ensure safe access is provided.

2. Ensure statutory and other tests and inspections are carried out at due frequencies by a Competent Person and that adequate records are maintained.
HAND DRIERS

Captive roller towels, recycled paper towels, electric warm air hand driers or combinations of the three should be considered by Departments when specifying these facilities in their premises.

Captive Towels

Departments are responsible for arranging their own captive towel service or for the supply of paper towels. In some leased buildings, a captive towel service may be provided by the landlord and the cost included in the service charge paid. In jointly occupied premises, Holders usually have the responsibility for making arrangements for the provision and replacement of captive roller towels. PMs should establish the arrangements currently in place in their premises and the respective responsibilities for providing captive roller towels.

TBA has contracts with a number of suppliers who can supply towel dispensers, fresh towels and take away used towels on a regular basis and for the supply or rental of electric warm air hand driers. Such contracts are normally arranged centrally, but PMs should establish whether such contracts exist and, if not, make arrangements for them to be put in place.

PMs should ensure that adequate supplies of clean replacement towels are readily available and that the laundering of the towels is to an acceptable standard. The prompt replacement of used towels is vital and should normally be included in the contract cleaning arrangements for the premises. Used towels awaiting collection should be stored in a manner consistent with good health and safety practice.

Cleaners’ instructions should include for changing the captive roller towels or for replenishing paper towel dispensers.

Electric Warm Air Driers

PMs should ensure that electric driers are installed in accordance with IEE Regulations. Current Health and Safety advice is that this type of drier should not be installed in food handling areas where frequent use could chap hands, leaving them prone to infection and irritant dermatitis. Driers should be sensor controlled to minimise consumption.
What should you do?

1. Ensure responsibilities for the provision of dispensers and towels are identified.

2. Ensure that responsibilities for changing towels are identified.

3. Ensure that towels are changed promptly.

4. Ensure that the standard of laundering is acceptable.

5. Ensure that dispensers are inspected regularly and are included in your planned maintenance regime.

6. Ensure any electric driers are included in your planned maintenance regime, if not already covered by other agreements.
PEST CONTROL

Departments will normally be responsible for the control of all pests in their property although lease provisions should be checked to confirm any landlord responsibilities. This section briefly outlines the procedures for arranging a pest control service.

Pesticides should only be used as a last resort (Control of Pesticide Regulations 1986) after sound hygiene and cleaning practices have failed.

The following should not be specified:

- pesticides on the UK “Red List”;
- pesticides on the EU “Black List”;
- methyl bromide;
- residual pesticides; nor
- volatile organic compounds as the spray medium.

Methods of Procuring Pest Control

PMs experiencing pest control problems will normally have recourse to:

- the Local Authority - where district councils and London boroughs provide pest control services for offices and other commercial premises in their areas, they will consider requests for such facilities from Departments. The Environmental Health Department will usually be the appropriate contact; or

- commercial servicing companies - those who are members of the British Pest Control Association conform to a code of practice. The Association will supply details of firms operating in a particular locality. Their address is 3 St James Court, Friar Gate, Derby, DE1 1BT (Tel: 01332 294288).

The choice between approaching the Local Authority or a commercial operator falls to PMs and may depend upon the nature and extent of the problem, and the facilities and terms which each side offers. PMs may wish to note that pesticides treatment for carpets can be arranged through TBA.
What should you do?

1. Ensure that methods of pest control are in place.

2. Ensure that the pest control method is environmentally acceptable.

3. Consider available pest control providers, ie Local Authority, commercial companies or TBA.

4. Request copies of relevant risk assessments for any pest control services procured.
PMR 4.0  WASTE MANAGEMENT AND DISPOSAL

Departments are required to have targets in place for minimising waste. PMs must be familiar with their departmental targets, and follow the advice in DETR's "Waste Guide", which is available on their web site and also the Environmental Protection Act 1990, the Controlled Waste Regulations 1992 and the Special Waste Regulations 1996.
Responsibilities, Collection and Disposal

PMs will normally have overall responsibility for recycling and waste disposal but others within the premises may have a contractual responsibility for recycling and disposal of waste arising from their own activities eg Planned Maintenance Contractors will be responsible for recycling and disposal of oil, old machinery parts, filters etc, and may also be responsible for recycling and disposal of fluorescent tubes, if included in their contract. It is important for PMs to establish clear lines of responsibility between staff and contractors for each type of waste.

Office waste should be separated for recycling and disposal in one of three ways:

- by the local waste collection authority (Local Authority);
- private waste collectors; or
- charities and voluntary organisations (paper, clothing, timber etc).

PMs are not bound to use the service of the Local Authority (although they are well advised to do so where an environmentally-sound free service is offered). They may wish to seek competitive tenders between the Local Authority and the private sector in order to compare costs and service, and also to establish which gives best value for money, as well as ensuring that the maximum amount of waste is reclaimed or recycled.

Under the Environmental Protection Act 1990 and the Controlled Waste Regulations 1992, waste collected from the following premises is treated as commercial waste:

- offices or showrooms;
- Courts; and
- Government Departments.

Waste collection authorities (Local Authorities) have a duty to collect all household waste but they will only collect commercial waste if so requested by the occupier of the building. Household waste is normally collected without charge but the authority may, and usually will, charge for the collection of commercial waste.
Under Section 34 of the Environmental Protection Act 1990, anyone who produces, holds, disposes of or has a responsibility for controlled waste (except of private householders in respect of their domestic waste), has a DUTY OF CARE to take all reasonable steps to ensure that:

- controlled waste is not managed illegally;
- it does not escape from control;
- it is transferred only to an authorised person; and
- it is adequately described to enable proper handling and treatment; and
- a Transfer Note is completed and signed by both parties to the Transfer.

NOTE: A Transfer Note is a record of the description of the waste eg cardboard, shredded paper, how it is contained eg in sacks, the quantities involved, the current holder of the waste, the carrier disposing of the waste, the site to which the waste was transferred and the date and time of transfer. A model Transfer Note which has been produced by DETR can be found at the Annex to this Section.

Any attempts by waste collection authorities to impose the use of their own version of a Transfer Note should be declined. The model Transfer Note satisfies in full the Duty of Care requirement and avoids unnecessary administrative costs. Some private carriers may also claim that their own “approved” form should be used. It is inadvisable to use those carriers who insist on using only their own Transfer Note. There is no legal basis for any ‘approved’ form.

Further information on the Environmental Protection Act 1990 can be found at ENV 6.0.

Further policy information may be obtained from:

DETR
Waste Policy Division
WP1
Ashdown House
123 Victoria Street
LONDON
SW1E 6DE

Tel: 0171 890 6401.
It is very important to note that Local Authorities are designated as ‘authorised’ whereas private carriers are not and they have, therefore, to be registered with the Environment Agency as carriers. Charities and voluntary organisations are exempt from the requirement to be registered and are treated as ‘authorised’. However, whichever carrier is used a Transfer Note is still a requirement. Where a private carrier is used, a check should be made with the Environment Agency that the carrier is properly registered and on the disposal route.

Similarly, when waste changes hands, a Transfer Note must be completed and signed by both parties. A copy of each transfer note must be kept for a period of two years.

PMs should not allow private contractors to enter any details on the Transfer Note apart from the details associated with their signature in Section D.

It should be borne in mind that the Duty of Care by the waste producer does not end with the completion of the Transfer Note. If a PM suspects that a private carrier is disposing of waste illegally, there is an obligation to take action:

“The producer shares the blame for illegal treatment of waste if he/she ignores evidence of mistreatment; a producer should act on knowledge to stop the illegal handling of waste” (Code of Practice)

Repeated transfers of the same kind of waste between the same parties can be covered by one Transfer Note up to a year provided that the description of the waste is the same for all the consignments covered by the note. Disposing of different types of waste would require a separate transfer note for the consignment. Where several offices use the same waste carrier there should be a Transfer Note completed for each office.

The person who is responsible for the disposal of the particular waste from a shared building should complete the Transfer Note. In most cases this will be either the Holder or the landlord.
Producer Responsibility Obligations (Packaging Waste) Regulations 1997

Under the Producer Responsibility Obligations (Packaging Waste) Regulations 1997, certain businesses, ie those which:

- have an annual turnover exceeding £5m (to be reduced to £1m from 2000); and
- handle in excess of 50 tonnes of packaging

will have obligations to recover and recycle target levels of packaging waste based on the amount of packaging they handle.

Departments dispatching goods, materials and publications should verify their obligations.

PMs will need to consider whether any of their Divisions are trading arms or trading arms of associated bodies for which their Departments are responsible and establish whether they are ‘producers’ as defined in the Regulations. Possible examples are gift shops, eg in Royal Palaces or the Palace of Westminster.

Further policy information can be obtained from:

Department of the Environment, Transport and the Regions
Packaging Unit
Room 6/F8
Ashdown House
123 Victoria Street
London SW1E 6DE

Tel: 0171 890 6567
Fax: 0171 890 6559.
What should you do?

1. Be aware of your Department's targets for reducing waste and take action to meet these.

2. Ensure, where practical, that systems are in place at the point of use to separate waste streams to maximise recycling (food, cans, paper, glass, cardboard, wood, plastics).

3. Establish respective responsibilities for disposal of waste.

4. Ensure that waste goes to an authorised person.

5. Ensure that Transfer Notes are completed correctly and signed by both parties.

6. Ensure that arrangements are in place to retain Transfer Notes safely for a minimum of two years.

7. Consider competition for waste disposal where Local Authorities levy charges.

8. Carry out a registration check that any private waste collector used is properly registered with the Environment Agency.

9. Establish whether any of your Divisions will be subject to the Packaging Regulations and act accordingly as required by them.


ANNEX PMR 4.1/1 - DUTY OF CARE: CONTROLLED WASTE TRANSFER NOTE

Section A - Description of Waste
1. Please describe the waste being transferred:
2. How is the waste contained?
   - Loose □
   - Sacks □
   - Skip □
   - Drum □
   - Other □ please describe
3. What is the quantity of waste (number of sacks, weight etc):

Section B - Current holder of the waste
1. Full Name of person responsible (BLOCK CAPITALS)
2. Name and address of Office:

Section C - Person collecting the waste
1. Full Name (BLOCK CAPITALS)
2. Name and Address of Company
3. Which of the following applies? (Please tick one or more boxes)
   - Local waste collection □
   - Licence number □ issued by: .................................................................
   - Local waste disposal authority (Scotland only) □
   - Registered waste carrier
   - Registration number issued by: .................................................................
   - exempt from requirement □
   - Give reason for exemption:

Section D
1. Address of place of transfer/collection point.
2. Date of transfer ....................................................... 3. Time(s) of transfer ............................................
   (for multiple consignments, give ‘between’ dates)
4. Name and address of broker who arranged this waste transfer (if applicable):
5. Signed:.................................................................
   Signed:.................................................................
   Full Name.............................................................. Full Name............................................... ..........................
PMR 4.2

LITTER AND REFUSE

Part IV of the Environmental Protection Act 1990 and Code of Practice on litter and refuse came into force on 1 April 1991. Its provisions are summarised briefly below.

Section 89(1) of the Act places a duty on the Crown and other specified bodies, for example, Local Authorities and certain statutory undertakers (collectively known as “principal litter authorities”), to ensure that their relevant land is kept clear of litter and refuse so far as reasonably practicable. Relevant land of the Crown is defined in section 86 of the Act: essentially, it is land open to air (but not a highway, or in Scotland, a public road) to which the public are entitled or permitted to have access with or without payment.

The Act and its accompanying statutory Code of Practice place areas of a particular type into zones. Most land will come into one of four main categories, broadly characterised as:

• Zone 1: town centres;
• Zone 2: densely populated residential areas;
• Zone 3: other residential areas; and
• Zone 4: other land.

(There are also special categories dealing with roads, beaches, school land, canal side land and railway land).

In addition, the Code of Practice sets out four standards of cleanliness:

• Grade A: no litter or refuse;
• Grade B: predominately free of litter and refuse;
• Grade C: widespread distribution of litter; and
• Grade D: heavily littered with significant accumulations.

For each zone, the Code sets down time periods within which it should be possible to restore a piece of land to a litter free condition. For example, in Zone 1, land should be cleaned to a Grade A standard. If it falls to Grade B, it should be restored to Grade A within six hours; if it falls to Grade C, within three hours and Grade D, one hour.
The Code of Practice is available from TSO as a priced publication (ISBN: 0-11-753210). Copies of a free leaflet on the Code of Practice may be obtained from DETR Free Literature, PO Box 236, Wetherby, Yorkshire, LS23 7NB (Tel: 08701 226236; Fax: 08701 226237.)

Where a specified body has not discharged its duty adequately, Section 91 of the Act allows a citizen aggrieved by the presence of litter or refuse on land to which the duty applies, to apply to the magistrates court (in Scotland, the Sheriff Court) for a Litter Abatement Order, having first given five days’ written notice. This Order requires the body under the duty to clear away the litter or refuse from the area which was the subject of the complaint.

Persistent failure or wilful refusal of a litter authority to discharge its duty would entitle an aggrieved person to apply to the High Court (in Scotland, the Court of Session) for a Judicial Review of that body’s actions.

Similarly, section 92 of the Act provides for a local authority to serve a Litter Abatement Notice on any other body which appears to them to be failing in its duty to clear land of litter and refuse.

Further policy information may be obtained from:

DETR
Air and Environment Quality Division
AEQ 3
Ashdown House
123 Victoria Street
London SW1E 6DE

Tel: 0171 890 6297.

On those occasions where the PMs are responsible for keeping the outside area free from litter up to the edge of the premises, litter collection may be added to the cleaning Specification or included in the Grounds Maintenance Contract.

What should you do?

1. Ensure that litter bins are located in areas where litter may be generated, i.e. vending machines, at entrances, etc.

2. Ensure that litter bins are emptied regularly.

3. Ensure that any grounds to premises are cleaned adequately and regularly.
The Government is committed to promoting recycling. PMs should consider installing facilities to separate their waste streams and for recycling paper, bottles, cans and plastics on their premises, having regard to:

- anticipated usage;
- space;
- security;
- access - for users and collection;
- provisions of the lease, as appropriate; and
- safety, eg fire risk.

PMs should note that Local Authorities will probably impose a lower charge for the removal of separated recyclable waste and that they or private companies may also be willing to pay for certain types of waste. Discussion of potential markets should be made with the Recycling Officer in the Local Authority. Further policy information may be obtained from:

**DETR**  
Waste Policy Division  
WP2  
Ashdown House  
123 Victoria Street  
London SW 1E 6DE  
Tel: 0171 890 6428/6433.

In the office environment, the primary recyclable material will be paper and PMs will have a prime role to play. They will be responsible for ensuring that paper is removed from property and the procedures for its collection, storage, recycling and disposal are controlled carefully and should also consider separation of different types of waste as well as different grades of paper by the use of different coloured bins.

It is vital that paper held in storage for recycling should not become a hazard (ie risk of fire) or be contaminated by other wastes, since this can attract rodents and result in infestation and will defeat the purpose of recycling.
What should you do?

1. Consider the effectiveness and benefits of recycling.

2. Separate recyclable waste.

3. Ensure food waste is not put into waste paper bins.

4. Ensure that special bins for food waste are placed in rest rooms and tea points.

5. Ensure that ordinary paper for recycling is not held in store for more than three weeks.
KITCHEN WASTE

Local Authorities will normally collect food waste from staff restaurants although special arrangements may be required to prevent smells or infestation. PMs, in liaison with the restaurant management, need to ensure that facilities are adequate and install waste disposal units, extra bins, etc as appropriate.

In many cases, paper bag disposal units, which consist of a mobile trolley or wall-mounted unit equipped with disposable paper bags may prove to be sufficient. Those with responsibility for the management of staff restaurants are responsible for arranging carriage of refuse and swill from the kitchen area to the point of collection.

What should you do?

1. Establish responsibilities for kitchen waste disposal.

2. Ensure that storage of kitchen waste does not constitute a health and safety hazard and that all receptacles have close fitting covers.

3. Ensure that kitchen waste is collected on a frequent basis.
FLUORESCENT LAMPS AND DISCHARGE LAMPS

Fluorescent light fittings and discharge lamps may contain certain toxic substances such as mercury, lead, cadmium, sodium and other elements of environmental concern. PMs need to ensure that light fittings are always handled with care.

Toxic substances known as Polychlorinated Biphenyls (PCBs) were at one time used in capacitors in luminaires. Since 1974 the industry has progressively phased out such uses. Any capacitors made for this application in the UK after 1976 are unlikely to contain PCBs. A telltale sign of PCB leakage is a light brown stain on the diffuser. In the event of leakage, the occupants of normally ventilated rooms are not in any immediate danger, but careful assessment, removal and disposal action should be taken as a matter of urgency.

It is worth noting that the UK currently disposes of some 80 million spent fluorescent tubes a year, of which about one million come from Government Departments. Current practice has been to dispose of the mercury, glass, aluminium and brass mainly in landfill sites. Recycling of the spent tubes is the environmentally-preferred solution to disposal, although it is recognised that there may be financial penalties as a consequence. However, the increasing cost of landfill because of the need to meet European and UK health, safety and environment legislation, coupled with a forecast shortage of landfill sites should make recycling a more attractive long-term option. In addition, future initiatives on waste electrical and electronic equipment may include the setting of recycling targets for gas discharge lighting. The Ministry of Defence’s Disposal Sales Agency (DSA) has set up a ‘call off’ contract for the recycling of spent tubes from the Government Estate and PMs are recommended to contact the DSA, D(S(CS)), Room 727, 6 Hercules Road, London, SE1 7DJ (Tel: 0171 261 8926) for advice on how they can make best use of this contract. Otherwise, PMs seeking to dispose of any components containing PCBs should contact the local office of the Environment Agency who will be in a position to advise on necessary documentation and appropriate disposal arrangements. Many waste products containing PCBs will be ‘special waste’, subject to the Special Waste Regulations 1996.

Where the disposal of lamps is the responsibility of a contractor, PMs should seek confirmation of compliance with the rules.

What should you do?

1. Establish responsibility for disposal of fluorescent lamps and discharge lamps.
2. Consider use of DSA contract for disposal of spent tubes.
3. Ensure that disposal accords with all health and safety requirements.
SPECIAL WASTE

Asbestos, nickel-cadmium batteries and some wastes containing PCBs are just some of the types of waste that are ‘special wastes’, subject to additional statutory controls under the Special Wastes Regulations 1996. Batteries should normally be sent for recycling/take back. These Regulations require all movements of special waste to be monitored through a system of Consignment Notes. The Environment Agency must be notified at least three working days in advance before such wastes are moved. The Consignment Note replaces the Duty of Care Transfer Note in the case of special waste. Departments need to ensure that they are aware of any such wastes produced on their premises, both in order to determine the most appropriate method of disposal and also to ensure compliance with the 1996 Regulations. PMs are responsible, as producers of the waste, for:

- obtaining Consignment Notes;
- ensuring that the appropriate parts of Notes the are completed; and
- ensuring the Note travels with the waste when it is moved.

Copies of the Consignment Notes will need to be retained for at least three years from the time of removal of the special waste.

What should you do?

1. Become aware of any special waste generated in the premises.
2. Take specialist advice from the Environment Agency and your Premises Adviser on the likely presence and method of dealing with special waste.
3. Ensure that the Environment Agency are given three working days’ notice before any special waste is moved.
4. Ensure that special waste is disposed of safely by authorised persons. Nickel cadmium batteries should be recycled/returned to the suppliers.
5. Ensure that Consignment Notes are completed correctly.
6. Ensure that arrangements are in place to retain Consignment Notes safely for a minimum of three years.
7. Carry out a registration check that any private waste collector is authorised properly by the local waste collection authority.
ASBESTOS WASTE

Where there is suspicion that waste contains asbestos, specialist testing, supervision of the removal and removal work will be required. PMs must seek advice from their Premises Adviser on employing a specialist contractor.

Further, detailed information and advice on asbestos can be found at H&S 4.12.

What should you do?

Take advice from your Premises Adviser on the disposal of asbestos.
RADIOACTIVE WASTE

In the office environment, radioactive waste would usually arise from equipment such as smoke detectors, smoke alarms or radio-luminescent devices. Disposal arrangements are subject to regulation under the Radioactive Substances Act 1993 (RSA 93).

Departments originating any radioactive waste are responsible for ensuring that they comply with the conditions and limitations contained within the relevant Exemption Order, issued by DETR as a Statutory Instrument. If these limits cannot be complied with, an authorisation will need to be obtained, under RSA 93, from the Environment Agency (or equivalent body in Scotland or Northern Ireland). However, PMs are recommended to discuss the issue with regional office of the relevant agency and that any certificates are completed and passed to contractors before they handle any waste. A list of the main offices to contact can be found at Annex PMR 4.8/1.

In laboratories and specialist establishments where larger quantities of radioactive waste may arise, PMs should ensure that the risk assessments required under the COSHH and Ionising Radiation Regulations are carried out and that the necessary registration and disposal procedures are followed.

Under the Control of Pollution (Special Waste) Regulations 1980, a radioactive waste which has the same characteristics as Special Waste is, in addition, subject to the form of control appropriate to those regulations.

What should you do?

Take specialist advice from your Premises Adviser and from the Environment Agency or equivalent body in Scotland or Northern Ireland on Radioactive Waste disposal.
ANNEX PMR 4.8/1 - MAIN REGIONAL OFFICES OF THE ENVIRONMENT AGENCY/SCOTTISH ENVIRONMENTAL PROTECTION AGENCY/NORTHERN IRELAND OFFICE

Environment Agency

**Head Office**
Anglian Region
Rivers House, Kingfisher House
Waterside Drive, Goldhawk Way
Aztec West, Almondsbury
Orton Goldhat
Bristol BS12 4UD
Peterborough PE2 5ZR
Tel: 01454 624400
Fax: 01454 624409
Tel: 01733 371811
Fax: 01733 231840

**North West Region**
Richard Fairclough House
Knutsford Road
Warrington WA4 1HG
Tel: 01925 53999
Fax: 01925 415961

**North East Region**
North East Region
Rivers House
21 Park Square South
Leeds LS1 2QG
Tel: 0113 244 0191
Fax: 0113 246 1889

**Midlands Region**
Sapphire East
550 Streetsbrook Road
Solihull
West Midlands B19 1QT
Tel: 0121 711 2324
Fax: 0121 711 5824

**Southern Region**
Guildbourne House
Chatsworth Road
Worthing
Sussex BN11 1LD
Tel: 01903 832000
Fax: 01903 821832

**South West Region**
Manley House
Kestrel Way
Exeter EX2 7LQ
Tel: 01392 444000
Fax: 01392 444238

**Thames Region**
Kings Meadow House
Kings Meadow Road
Reading RG1 8DQ
Tel: 01734 535000
Fax: 01734 500388

**Welsh Region**
Rivers House
St Mellons Business Park
St Mellons
Cardiff CF3 0LT
Tel: 01222 770088
Fax: 01222 798555
<table>
<thead>
<tr>
<th>Scottish Environment Protection Agency</th>
<th>Northern Ireland Environment and Heritage Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Castle Business Park</td>
<td>4th Floor, Calvert House</td>
</tr>
<tr>
<td>Stirling FK9 4TR</td>
<td>23 Castle Place</td>
</tr>
<tr>
<td>Tel: 01786 457700</td>
<td>Belfast BT1 1FY</td>
</tr>
<tr>
<td>Fax: 01786 446885</td>
<td>Tel: 01232 254754</td>
</tr>
<tr>
<td></td>
<td>Fax: 01232 254 700.</td>
</tr>
</tbody>
</table>
PMR 4.9  CLASSIFIED WASTE

PMs should be familiar with any departmental rules for the disposal of protectively-marked material (e.g., shredding, recycling, incineration) and must comply with them. Confidential waste paper should normally be shredded for recycling and disposed of as normal waste.

There are a number of contractors in this area who offer a disposal service for protectively-marked material. PMs should consult their Departmental Security Officers over the contractors they may use for this service.

What should you do?

1. Consider alternatives for disposal of classified waste.
2. Ensure security arrangements are in place and maintained.
3. Consult with your DSO over contractors cleared for disposing of protectively-marked material.
SANITARY TOWEL DISPOSAL

A sanitary towel disposal unit should be provided in each appropriate toilet area. The following methods of disposal are acceptable:

• unit exchange (sealed bin) service – used towels are placed in containers, either directly or into a detachable inner liner. The whole container or inner liner is removed at regular intervals and a clean, disinfected replacement supplied. The contractor for this service removes the used units intact from the premises and is responsible for the safe disposal of the contents. Only sealed unit services are acceptable. Where liners only are replaced, the containers must be thoroughly cleaned and disinfected before a replacement liner is fitted which is why removal of the complete container is, therefore, preferred;

• maceration – used towels are macerated and discharged into the foul water drainage system; and

• incineration – used towels are destroyed immediately by burning and the ash is removed daily by office cleaners.

The collection of soiled towels for disposal at a central point within the premises is not permitted.

Professional health and safety advisers recommend that the unit exchange service should be used where possible.

What should you do?

Establish a suitable disposal regime for your premises, consulting your Premises Adviser if necessary.
PMR 5.0  SECURITY

PMR 5.1  GENERAL SECURITY

The responsibility for security in Departments' properties rests with the major occupying Department's Security Officers. PMs have an important role to play in the day-to-day physical security of buildings. This section gives only a brief introduction to security arrangements and PMs should refer also to detailed Departmental instructions. Further guidance can be obtained from the Manual of Protective Security published by the Cabinet Office.

Departments (Holders in Jointly Occupied Buildings) are responsible for making any necessary arrangements for the security of buildings both during the daytime and also outside normal working hours. In exercising their responsibilities, Departments will need to weigh up the options of employing either messengers or a custody service or installing an intruder detection system to monitor access during unoccupied periods. PMs will need to be conversant with their Department's instructions in respect of physical security and be aware of the arrangements for:

- the control of access to the building;
- the issue and safe custody of keys (for internal and external doors);
- the security of money and valuables;
- the security of classified materials;
- the supervision of visitors and other non-departmental users of the building;
- meetings and other activities held outside normal working hours;
- access by contractors' staff engaged on weekend working;
- instructing cleaners working outside normal hours; and
- informing the police of the names and telephone numbers of officers to be contacted in the event of out-of-hours emergencies.

In buildings where there is no out-of-hours presence PMs should arrange for all electrical and gas appliances to be turned off, doors and windows secured and the lights turned off at the end of the working day.
What should you do?

1. Be conversant with your Department’s security instructions.

2. Carry out an appraisal/risk assessment of the total security requirements and implement recommendations in accordance with your Department’s security policies.

3. Consult your Departmental Security Officer as necessary.
PMR 5.2 ELECTRONIC AND PHYSICAL SECURITY EQUIPMENT AND SYSTEMS

Where Departments are considering the installation or amendment of Automatic Access Control, CCTV or Intruder Detector Systems, or any physical security measures, they should in all cases seek the advice of Security Facilities Division (SFD) at:

Security Facilities Division
St Christopher House
Southwark Street
London SE1 0TE

Tel: 0171 921 4813 (GTN 3813 4813).

SFD, in conjunction with the DSO, will confirm the measures necessary to give the required level of protection, and whether further SFD involvement is required. SFD will recommend firms to supply and install systems and advise on procurement options. It often makes best sense to purchase a system outright and negotiate a service contract.

In all high security locations, SFD must install and maintain the Government Alarm Control Equipment (AC12).

If it is decided that further specialist input from SFD is required and the level of security warrants it, SFD may itself organise the installation and maintenance.

What should you do?

1. Consult your DSO.
2. Obtain advice from SFD regarding security systems.
3. Implement your DSO's or SFD's recommendation in accordance with your departmental security policies.
4. If appropriate, consult your House Committee for the premises and, where necessary, the landlord or duty holder.
Where PMs are considering the employment of a custody or guarding service, they should first consult their DSOs as there are circumstances when only in-house staff may be used.

In buildings covered by a custody service, some type of patrol clock recording system is normally necessary and the Department is responsible for its provision and installation. There are two types of system:

- **portable** - custody guards carry the clock and operates it by keys permanently attached at the points to be visited; the clock records the time of the visit and the number of the station; and

- **distributed** - electronic contacts are installed at the points to be visited and wired to a recording clock, the custody guards carry one key which fits all the contacts and, by inserting the key, marks on a chart the time of their visit.

The portable system is usually the more economical to operate.

PMs should ensure that the patrol records are examined regularly to check that the required patrol intervals are being observed. The records should be retained and an incident book maintained in which the guards can note any occurrences of importance.

Sound procedures should be in place for minimising the use of lighting and heating.

**What should you do?**

1. Take advice from your DSO.

2. Ensure patrol records are examined regularly and retained.
The security measures which have been drawn up to counter this threat together with detailed advice on contingency planning are set out in detail in the “Manual of Counter Terrorist Measures” issued by Cabinet Office. The following paragraphs do not contain a complete summary and will need to be studied within the context of Departmental instructions. As with general security, SFD will advise on electronic and physical security measures to counter a specified terrorist threat.

Responsibilities

In devising and implementing the security measures to counter the terrorist threat, responsibilities are as follows:

- Cabinet Office, in consultation with the Home Office and the Security Authorities, is responsible for giving advice to Departments on the terrorist threat and counter measures;

- Departments are responsible for the safety of their own personnel and for having a proper security system. If they do not implement recommended security measures, their Minister is answerable; and

- police responsibilities are limited. If they receive a bomb threat in relation to Government property, the police will contact the official in charge of the property (usually the PM). It is therefore important that the local police are informed whenever there is a change of PM. They may suggest appropriate course of action, and may assist or stand by during any search or evacuation, but they will not take control or make decisions unless an explosion occurs or unless there is good reason to suppose that a bomb has been located.

The Role of the PM

PMs have a valuable knowledge of their own premises which can play a vital part in devising and implementing effective contingency plans.

States of Vigilance and Related Security Measures

The potential threat of terrorist activity warrants constant vigilance, but the degree of risk varies from one building or location to another. There will obviously be times when the general level of security has to be stepped up. Cabinet Office will inform Departments accordingly and they should in turn make sure that all their buildings are notified of any special measures to be implemented. Full details of the security measures applicable for different states of vigilance are given in the Manual previously mentioned.
The recommended security measures are designed primarily to prevent unauthorised access to Government buildings and thus reduce the possibility of explosive, blast incendiary and incendiary devices being placed in or adjacent to those buildings. They also encourage vigilance on the part of all staff. But despite all precautions the possibility of a bomb or other device in or near Government property can never be excluded.

Departments are responsible for ensuring that all their premises have well thought-out and rehearsed contingency plans. The aim of this planning is to ensure that in the event of a bomb warning being received, staff can be moved to safe areas, either in or outside the building without serious risk of being injured by the direct or secondary effects of a bomb should it explode. Such plans should be kept up-to-date and include the following elements.

An Incident Control Officer (ICO) should be appointed for each property. The ICO should have a contact within each occupying Department and should, preferably, be the senior officer responsible for security in the property. The ICO should have a control room, sited away from areas likely to be damaged by bombs (entrances, post rooms, and rooms on the perimeter of the building) and should have a number of deputies to handle communications, act as marshals, carry out searches, etc. In the event of an emergency, all control personnel should be easily identifiable for example, by use of armbands or badges.

**Communications should provide for:**

- a bomb warning signal distinct from the fire alarm;
- personal communications between control personnel, independent of the telephone network; and
- external communications in the event of damage to a private telephone exchange.

Search procedures should be undertaken but the decision to evacuate any part of the property should not just be left until an explosive device is or is not found. The threat should be evaluated by the ICO who should then take the appropriate course of action out of the four courses listed below:

- no further action;
- search without evacuation;
- partial evacuation without search; or
- complete evacuation and search.
Searchers should avoid disturbing articles and as far as possible should never touch a suspicious object. Searches may be carried out in four ways:

- by occupants - where the threat is internal, room occupants are best placed to tell whether their room contains any unusual object. Moreover this method allows areas to be searched simultaneously in a short time. Clear instructions should be issued;

- by nominated officers - who may be used to cover common areas and the perimeter of the building. They should be volunteers; leaders should be appointed; they should operate to clear instructions. They should be rehearsed in the procedures and there should be reserves;

- by teams - the team search is carried out by specially trained personnel organised into groups. It is the safest and most thorough technique for searches and it usually involves the total evacuation of the building but it is slower and more expensive in terms of interruption of work. These teams can be organised from security personnel and volunteers. Training in the search techniques and recognition of Improvised Explosive Devices is essential; and

- by police - who have no responsibility for searching the inside of a Government building but will normally assist in particular with the identification of suspicious cars and with clearing of the surrounding area if a suspect object is discovered.

'Safe areas' should be identified within the building and a variety of evacuation and movement routes. These should be indicated on a plan of the building maintained by the ICO.

Assembly areas should be determined in advance, at sufficient distance from the property to avoid the effects of an explosion and clear of anticipated police safety cordons. The arrangement will need to be agreed with local police if in a public place.

Consultation should take place with joint occupiers, landlord, management and staff representatives, police and fire brigade. There may be particular security difficulties in leasehold property or where commercial tenants are in joint occupation.

Arrangements should be well publicised to staff but that in itself is not enough. Practice emergency procedures are important to ensure familiarity with the procedures. The different elements may be practised in isolation or jointly - control and communications; searches; movement of staff to safe areas; complete evacuation.
In the event of an explosion, contingency plans should include for:

- adequate stocks of first aid equipment including bomb blast kits;
- a search plan for casualties;
- a list of contacts for damage to essential services;
- prior preparation of notices for warning and information; and
- arrangements for dealing with enquiries from next of kin and from the media.

**Postal Bombs**

Postal bombs are designed to explode or ignite when the suspect package or letter is opened. 'Suspect' mail must be treated with extreme caution. A list of pointers to look for, with details of aids available to determine if a package is suspect, and advice on appropriate action is given in the “Manual of Counter Terrorist Measures” mentioned previously.

**Enquiries**

Enquiries on any aspect of counter terrorism should be addressed to Cabinet Office through Departmental Security Officers.

**What should you do?**

1. Ensure you have a communication strategy with the Departmental Security Officer.
2. Develop contacts with the ICO.
3. Seek SFD advice as appropriate.
4. Ensure a contingency plan exists and necessary appointments made.
5. Advise staff regarding security arrangements and procedures.
6. Ensure emergency procedures are rehearsed.
DAMAGE TO GOVERNMENT PROPERTY

General

The actions to be taken by Departments in the event of damage to their property vary according to the repairs needed to make good the damage. This section should be read by PMs in conjunction with their Department’s instructions.

Damage

Damage to Departmental property, including leased buildings, may be the result of unlawful acts, culpable negligence or accidents.

Claims

In leased buildings, it may be necessary to inform the landlord. Cases of unlawful damage should also be reported to the police without delay.

Legal action to secure compensation for unlawful damage, either by making a claim during criminal proceedings or by bringing a civil action for damages, should always be undertaken. Where repairs needed to make good the damage fall within departmental responsibilities, it is for that Department to claim any compensation. In Scotland, responsibility for deciding whether to institute criminal proceedings rests with the Procurator Fiscal.

In some cases the police themselves may decide to prosecute but it is the responsibility of whoever is funding the repairs to claim compensation from third parties, where appropriate, and for any necessary noting of Appropriation Accounts.

Leased Buildings

In leased buildings, liability for the cost of repairing any damage (including fire damage) will be determined by the terms of the lease and may be covered by an insurance policy. Departments should report any incidence of damage to the landlord in accordance with the lease.

Where responsibility for repairing damage to a building rests with the landlords, PMs should tell them the extent of the damage and ask for it to be repaired. The lease should also be examined to establish whether there is a requirement to continue paying rent whilst a property is unusable, eg following an explosion, fire or other major incident.
If it is not a landlord responsibility, the liability to make good the repair may still be covered by an insurance policy under the terms of the lease and this should be ascertained. If a claim is to be made against the insurance company, it is essential that the insurers are notified of any damage as soon as possible so that they are given the opportunity of inspecting the damage before any permanent repairs are put in hand. This should not, however, prevent any temporary repairs being effected to safeguard the property and its occupants and allow them to carry on with their duties. Full details of all work done must be kept as this information will invariably be required by the insurers or their loss adjustors.

Any claim from a landlord of a damaged property leased and occupied by a Department should be referred to the Departmental legal service.

Buildings Jointly Occupied With Other Departments (JO Bs)

In JO Bs, the Holders will normally be responsible for repairing any damage to the premises. Damage to furniture, equipment and individual Department's areas of occupation is that particular Department's responsibility. Holders are normally responsible for the maintenance of common areas.

Composition of Claims

The amount of any claim should fully cover the cost (or estimated cost) of the works services involved in making good the damage, VAT and any Departmental expenses associated with the repair work. Costs involved in presenting a claim should not be included.

Unsuccessful Claims

If it is decided that no claim for compensation is to be made, individual Departments should write off the cost of repairs for which they are responsible. If a claim is raised, but fails in part or in full, the shortfall should be written off.

Where no compensation (or only partial compensation) is awarded in a criminal action in the Courts, the Departmental legal service will consider the possibility of a civil action to recoup repair costs.

Accidental damage, where no one is to blame, such as that caused by flood or storm, should be written off.
**The role of PMs**

PMs have important roles to play in co-ordinating the necessary actions following an incident involving damage to a property or its contents. The main aspects of this role are detailed below.

Preventative action - PMs should take every possible precaution to avoid damage to the Department's property including for example:

- encouraging staff, by means of office notices or similar, to take reasonable precautions to avoid damage to the property and its contents;
- encouraging staff to observe basic fire precautions; and
- making sure that the property is secure when not occupied.

Preparedness - despite taking these precautions an emergency may occur and the task of dealing with this will be easier if the following steps have been taken beforehand:

- staff should be asked to report any incident involving damage to the property or its contents to PMs without delay;
- PMs and security staff should be aware of the procedures to be followed;
- appropriate arrangements should be made for action in the event of an emergency outside normal working hours; and
- if the property is a JOB, actions to be taken by Holders and the other Departments should be agreed.

Remedial action - in the event of an accident, and to enable prompt action to repair damage and, if appropriate, claim compensation, PMs should assist as follows:

- telephone any departmental staff and also the police without delay, in accordance with internal procedures;
- collect as much information as possible about the incident and the person(s) responsible; and
- give the police any necessary assistance with their enquiries.
Follow up action:

- arrange for any necessary repairs/replacements to be made; this is particularly important if the damage has made the property unsafe in any way; and

- in the event of a break in, review security arrangements as necessary.

**What should you do?**

1. Inform the landlord, where appropriate, in leased buildings.
2. Report unlawful damage to police.
3. Establish liability for repairs.
4. Ensure claims are lodged promptly.
5. Take precautions to avoid damage.
6. Raise staff awareness of fire precautions and need to avoid causing damage to the premises.
PMR 5.6  LOSS OR THEFT FROM PROPERTY

General

PMs should read this section in conjunction with Departmental instructions, the Staff Handbook, the Civil Service Management Code and the Establishment Officers' Guide where relevant. Action in the event of loss or theft from departmental property needs to be related to what has been lost or stolen.

Reporting Procedures

Departmental Establishment Officers should be notified, in accordance with Departmental instructions, in the event of loss or theft of official equipment, furniture or fittings. Where theft is suspected, the police should be notified immediately. Details of any damage caused, for example by unlawful break in should be reported to Establishment Officers, PMs will need to arrange for the repair of this damage.

Restitution of Stolen Goods

In the event of theft, any prosecution action will normally be taken by the police; Departments will not, therefore, be involved in instituting criminal proceedings but many are, however, responsible for securing the restitution of stolen property. In Scotland, the decision to proceed with prosecution rests with the Procurator Fiscal. If a prosecution goes ahead and the stolen property is recovered, it will be returned to the owners at the conclusion of criminal proceedings.

Loss of Official Cash

If the loss or theft involves official cash, cheques, etc, internal Departmental instructions should be followed.

Loss of Personal Property

Loss of property belonging to staff should be dealt with in accordance with the guidance set out in Departmental instructions, the Staff Handbook, the Civil Service Management Code and the Establishment Officer's Guide.
Leased Buildings and Jointly Occupied Buildings

The principles are covered earlier in section PMR 8.6 though the detail may vary according to the circumstances.

The Role of PMs

The role of PMs in liaising with colleagues and the police and taking the necessary follow up action, particularly in respect of security arrangements, will be similar to that described earlier in this Section.

What should you do?

1. Become conversant with Departmental instructions, Civil Service Codes, etc.
2. Establish reporting procedures.
3. Check security systems to avoid a repeat of the incident, if appropriate.
PMR 6.0  FURNITURE AND LOOSE EQUIPMENT

PMR 6.1  GENERAL

PMs are usually responsible for the purchase and disposal of furniture and loose equipment for new and existing premises and for their subsequent maintenance.

Many types of furniture, equipment and furnishings including floor-coverings, can be bought cost-effectively through The Buying Agency (TBA) and the Central Computer and Telecommunications Agency (CCTA). The TBA can advise on special services, particularly large quantities of items it does not routinely supply, and on facilities management issues in general. TSO, in addition to advice on furniture and equipment procurement, may also be able to provide a layout design service.

Many of the services outlined above can also be obtained from the private sector and PMs should always procure equipment with a view to best value for money. PMs should take Departmental advice on establishing an economic procurement policy.

The Buying Agency (TBA) may be contacted at:

Customer Contact Unit
TBA
5th Floor
Royal Liver Building
Liverpool L13 1PE

Tel: 0151 227 4262.

Contact details for CCTA are given at Section PMR 6.7.

What should you do?

1. Be conversant with Departmental policy on furniture and equipment procurement.

2. Check sources of supply within Government to establish an economic and green purchasing policy.
PMR 6.2

PROVISION AND PROCUREMENT

This section deals with the procurement of an initial supply of furniture and equipment for new property and also with day-to-day requirements such as replacements or additions to cope with new staff or functions.

PMs should seek to reuse and repair existing furniture and equipment. The benefits of natural materials and locally-produced, traditional products should be considered. As far as possible, timber, wood and plywood coming from sustainable resources should be used. Documented proof and, if available, independent validation under an international certification scheme should be sought.

Chipboard, plywood and medium density (MDF) fibreboard should be free of formaldehyde glue and contain only the minimum of formaldehyde resins.

Specifications should not preclude the use of wood substitutes such as recycled plastics and agricultural products.

New Property

When procuring furniture and equipment on the open market, tenders should be obtained from prospective suppliers for similar ranges of products to ensure value for money. PMs should keep in mind that the procurement of furniture and equipment may come under the EU/GATT procedures. TBA and CCTA may have call-off contracts in place that meet all the EU/GATT compliance procedures. Once estimates from the suppliers are agreed and their products are deemed acceptable technically, PMs should retain copies of all schedules and orders placed.

Storage and Filing Furniture

Storage and filing furniture should be provided to meet specific Departmental needs. Storage equipment is costly and PMs should try to arrange for archives and papers which are frequently in use to be housed in separate rooms where more economical racking can be used rather than cabinets and cupboards. Routine requests for metal shelving should always be accompanied by a simple sketch indicating the required layout. In cases where the storage need cannot be met by conventional methods, PMs should liaise with all users, consult with their Premises Advisers and recommend the best equipment to meet the need. Any necessary consultation should be at the commencement of the project.
Consideration of mechanised filing systems should be made, keeping in mind, however, that such systems are expensive in comparison with conventional storage equipment and installation may only be justified if the initial cost of the equipment plus maintenance charges can be offset by substantial savings in both floor space and staff time.

Floor loading limits should also be verified before ordering new storage equipment. When disposing of any items of furniture or equipment which have held official documents, PMs must ensure that a thorough check has been made to ensure that all documents have been removed. Severe embarrassment has been caused by documents which have been overlooked in obvious places or have slipped out of sight.

**Day to Day Requisitions**

It is important to ensure that orders for replacement or additional items of furniture are justified and that the requirement cannot be met more economically by re-planning the use of, or renovating, existing furniture and equipment.

Care should be taken to ensure that any new items are generally harmonious with the styles and colours of the original furnishings of a room. Furniture fabrics, covers and curtains should be specified for cleaning, subject to the current environmental objectives ie materials, sourcing, certification, etc, by wet washing, thereby avoiding the additional cost of dry cleaning and the associated ozone-depleting solvents. Expert advice should be sought in cases of difficulty.

**Receipt of Furniture and Equipment**

Whenever possible, furniture and equipment should be examined immediately on receipt and any damage reported at once. If this cannot be done, the consignor's delivery note should be marked 'un-examined' and an examination carried out as soon as possible, though the examination should never be delayed by more than one day. Reports of damage or discrepancies should be made promptly and in accordance with any instructions given on the receipt copy of the consignment note. Failure to report damage or discrepancies within the specified time may result in rejection of the claim and subsequent loss to public funds.
Non-Delivery

Most suppliers will quote delivery dates for items ordered. PMs should notify suppliers immediately if deliveries fail to materialise by the due dates.

Procurement of Specialist Equipment

Requisitions for other items, such as office machinery and telecommunications equipment may be made with the assistance of central buying agencies as indicated later in this section.

What should you do?

1. Obtain competitive tenders from suppliers in line with Departmental procedures and environmental objectives, to ensure value for money.
2. Plan to reuse and renovate furniture before considering new acquisition.
3. Report damage on receipt.
5. Consider the use of TBA, CCTA and TSO alongside other suppliers.
PMR 6.3  

CARE AND MAINTENANCE

Departments are responsible for the maintenance of all items of furniture and equipment including floor coverings. PMs should consult departmental policy with respect to furniture and equipment maintenance, particularly for security equipment.

PMs are responsible for ensuring that furniture and equipment within their properties are maintained and used properly. The various ways in which this can be done are described below.

Cleaning and Reconditioning

Proper cleaning is an integral part of furniture care and PMs should make sure that the treatments and frequencies listed in office cleaning specifications are followed. In addition to this day to day cleaning, PMs should arrange, at reasonable intervals, for the reconditioning of furniture and for the cleaning of high-grade soft furnishings which require special treatment. This may be done either on site or at workshops.

Renovations and Repair

PMs should always consider the feasibility of repair or renovation to an existing item of furniture before requesting a replacement. If in doubt, professional advice should be sought. This is particularly important where security furniture or equipment is involved. Equipment to meet security requirements is designed to protect against more sophisticated forms of attack which, if successful, would leave no immediately obvious trace of opening. Renovation, for example by respraying, could impact on the integrity of the item and DSOs should be consulted beforehand when planning such work.

Renovation can often include the complete stripping and resurfacing of unsound or damaged areas, replacement of lost or broken fittings, structural repairs and supply of parts. The substances used for stripping and resurfacing should be checked for compliance with Departmental Environmental Objectives. It is important that furnishings in need of repair receive prompt attention since they may be dangerous and could give rise to accident or injury. Damaged floor coverings can be particularly dangerous.
The undersides of tubed or tubular cantilever chairs should be inspected from time to time, particularly those used on hard floors. Chairs that have worn to form a flat area of 10mm or more in width are no longer safe to use and should be disposed of as scrap. It should be noted that the maximum recommended load for tubular cantilever chairs is 188kg (30 stones) for chairs manufactured since 1980 and 106 kg (17 stones) for chairs made before that.

Gas Cylinder Chairs

Particular attention should be given to gas cylinder height-adjustable chairs, especially those with a tilting seat mechanism. Any refurbishment of these types of chairs should be undertaken by a contractor approved by the manufacturer or supplier. Also, because of the technical complexity of gas cylinders, it is advisable that all remedial work be undertaken by the chair manufacturer or supplier, who should always be consulted.

Gas cylinder chairs procured for office use should comply with, and satisfy, BS5459: Performance requirements and tests for office furniture: Part 2: Office seating. Under the British Standard, seating can be tested to one of three levels which are appropriate to the following office applications:

- **General (G)** i.e. approximately 8 hours of use per day (equivalent to test level 4 of BS4875: Strength and stability of furniture. Part 1: Methods for determination of strength of chairs and stools by persons weighing up to 100 kilograms (16 stones).

- **Heavy (H)** i.e 24 hours of use per day (equivalent to test level 5 of BS4875: Strength and stability of furniture: Part 1: Methods for determination of strength of chairs and stools) by persons weighing up to 100 kilograms (16 stones).

- **Severe (S)** i.e 24 hours of use per day by persons weighing up to 120 kilograms (20 stones) with an additional allowance for some abusive use.

**PMs** should ensure that all gas cylinder seating supplied is of the appropriate type for the nature of usage required. In general, chairs tested to level G will suffice for the vast majority of personnel and applications. However, there may be limited applications where, due to the weight of the personnel involved, a higher specification chair e.g. tested to level H is required.
What should you do?

1. Inspect furniture and equipment regularly.
2. Arrange regular cleaning and maintenance of furniture.
3. Consider repair or renovation of furniture.
4. Take care in provision of gas cylinder chairs.
REMOVAL

General

Departments are responsible for arranging and funding removals of office furnishings and equipment, whether from one property to another or within the same property.

Both internal and external removals can be arranged through TBA or other providers. Contracts cover the hire of vehicles with drivers and/or labour in specified areas. For internal removals, work can cover the relocation of all or some items of furniture, fixtures and fittings (except racking), files and records, goods, personal effects, etc.

The external service covers the removal of all or some goods from a property and placing them in position in one or more new locations. Contractors will supply and deliver suitable quantities of containers, crates, security boxes, lids and seals. PMs should specify that all storage containers and packing is reusable and returned to the contractor. If necessary, to meet transit or longer-term storage requirements, goods and effects can also be warehoused on the contractor's premises.

TBA also provides a service for the laying and maintenance of floor-coverings. All necessary preliminary work can be undertaken, including surveys, preparation of the underfloor, measuring-up and the disposal of old carpets, etc. Where new floor-coverings are being provided in the context of a removal, TBA and other contractors can co-operate to ensure the smooth integration of work schedules for minimum disruption.

Safety

PMs should be aware that internal moves of office machinery or substantial record storage should not be undertaken without first checking floor loading limitations as this could be very dangerous. Risk assessments need to be undertaken by removal contractors and provided to PMs.
Preparing for a removal

In preparing for removal PMs may wish to bear in mind the following:

• a simple sketch plan of the new property indicating approximately where each item is to be placed should be prepared and made available to the removal supervisor before the removal commences. Each item to be moved should be identified with a reference number with a corresponding number on the plan to enable the removal to be carried out as swiftly and as economically as possible. This will also enable checks to be made on floor loadings when safes or other heavy equipment are involved;

• all items for removal must be packed and labelled clearly to indicate the building floor and room number as shown on the sketch plan;

• the contents of the storage and filing equipment, table drawers and book cases together with all loose files, boxes or drawings should be packed securely in containers provided by contractors and should be labelled to correspond with the reference number of the associated item of furniture;

• with the exception of security equipment, doors and drawers must be left unlocked and the keys tied to the handles. Desk drawers should also be numbered to correspond with the desk number in case it is necessary to dismantle the furniture during removal;

• breakable or fragile items such as china, glass or bottles containing fluids, should not be packed or wrapped but kept separately and marked clearly; and

• office equipment such as IT equipment, when included in a furniture removal should be labelled clearly and should in no circumstances be placed in cartons or desk drawers.

Departments may wish to consider employing specialist IT contractors to remove and re-install their IT equipment.

Follow-up Action

The following actions may be necessary after removal has taken place:

• any returnable packing material should be preserved and returned as soon as possible so that any credit may be obtained. Contractors often agree a ‘Return by’ date for containers, etc and may charge for containers retained beyond this date. It is important in these circumstances, therefore, that the containers are emptied and returned without delay to avoid additional hire charges; and
• any damage or loss sustained during removal should be reported immediately to the contractor before payment of the account. PMs are responsible for taking such actions as are necessary to obtain redress for any loss or damage.

What should you do?

1. Ensure that risk assessments are undertaken by removal contractors prior to the work and copies of reports are supplied.

2. Obtain specialist advice on floor loadings before moving heavy items.

3. Plan for removals carefully.

4. Consider use of TBA along with other providers.

5. Return packing materials to obtain credit.
SECURITY EQUIPMENT

General

PMs should obtain, via their DSOs, advice on the provision for:

- the protection of cash and valuables; and
- the protection of classified material.

Protection of Valuables

Furniture and equipment for the protection of valuables is designed to prevent various types of physical attack, eg by explosives, cutting and drilling and this requirement is normally met by the provision of safes or a strongroom. The exact requirement will depend on the value of the items to be held, the vulnerability of the site and the overall policy of the Department at the time. PMs should determine this requirement, consulting the DSO about sizes, grading, suitability and availability of different equipment. SFD is able to provide such advice.

The issue of new safes to house cash is normally restricted to offices in which the value of items to be held overnight exceeds £500 on a regular basis, except where there is an agreed Departmental standard. If the total holdings extend to more than the capacity of a single or reasonable number of safes, consideration should be given to the installation of a strongroom and, in such cases, professional advice should be sought on the suitability of the building for such an installation.

Protection of Classified Material

The equipment to meet this requirement is designed to protect against more sophisticated types of attack which, if successful, would leave no immediately obvious trace of opening. It is therefore particularly important that users of this equipment examine it regularly for unusual marks which could indicate unauthorised interference.

DSOs are responsible for determining the requirement to identify the appropriate equipment from the guidelines in their Departmental Security Handbook.
**Floor Loading**

Before placing an order for safes, PMs are advised to obtain confirmation that the floor will accept the weight of the proposed equipment in the intended locations.

**Delivery**

Security equipment will not be delivered to a site unless the Department is in occupation and can ensure that it is adequately protected against vandalism and tampering. All requisitions should be accompanied by any relevant details about accessibility to the site.

**Maintenance**

Routine maintenance on a conventional safe used for the protection of valuables is unnecessary, but if the action of the boltwork appears to stiffen up or the key shows signs of wear, PMs should arrange for the item to be serviced as necessary. If however, the safe has been fitted with a mechanical time over-locking device, PMs should arrange for an annual maintenance contract in liaison with their DSOs. Maintenance may be undertaken by SFD who can be contacted at:

Security Facilities Division  
St Christopher House  
Southwark Street  
London SE1 OTE  

Tel: 0171 921 4813 (GTN 3813 4813).

Maintenance of equipment provided for the protection of classified material should be arranged in liaison with DSOs. SFD can provide assistance as necessary but, routinely PMs may arrange for the work to be carried out by a vetted local supplier, who will be accompanied by the DSO when maintenance is carried out. If the malfunctioning of locks occurs frequently, it is recommended that DSOs should hold a buffer stock of each type of lock to cover emergencies and exchanges.

Repairs and renovation of security equipment which affect the surface finish of the equipment are not permitted on site. The surface finish is normally stoved enamel, and since no other finish is permitted, in-situ spraying cannot be allowed on security equipment (other than safes).
Loss of Keys

In the case of equipment provided for the protection of valuables, new keys will be cut to replace the lost ones, except for equipment housing classified material, where any loss of keys means that security has been compromised and that the locks and keys will need replacing. Locksmiths engaged to attend the site should be supervised by the PMs.

Damage or Suspected Attack on Security Furniture Housing Classified Material

Any item of security furniture which has been damaged or which shows inexplicable marks or traces of entry should be brought to the attention of DSOs immediately. The item should not be used until the DSO has determined whether an unauthorised attempt has been made to gain entry. The DSO will also decide whether the damaged item should be retained in use or replaced. Subsequent action will be governed by individual Departmental security policies.

Attacks on Other Equipment

If there is evidence of an attack on other security equipment PMs should notify their DSOs and the local police immediately.

Disposal of Redundant Security Equipment

PMs should consult their DSOs regarding disposal of security equipment.

In the case of furniture supplied for the protection of valuables, PMs should ensure that all contents have been removed, that the door are locked and that all keys are tied to the handles securely.

Furniture supplied for the protection of classified material should be searched by PMs in liaison with the DSOs and a certificate indicating that this has been done should be held by the DSOs. All combination locks should be reset on the manufacturer’s standard numbers (40.50.60) before being sent for disposal.
Loans of Security Furniture

Loans are permitted in exceptional circumstances to, for example, Ministers, approved consultants, senior officers and contractors in unofficial and private property. Any requests for such loans should be referred to DSOs for action.

Keys for Privacy

Replacement of non security keys is normally the responsibility of PMs.

What should you do?

1. Consult your DSO regarding protection of classified material.
2. Consult SFD where applicable
3. Check floor loadings.
4. Arrange maintenance for safes, etc.
5. Replace locks to safes housing classified material if keys are lost.
6. Report damage to your DSO.
7. Report damage to police when appropriate.
8. Dispose of surplus items via your DSO.
PMR 6.6  OFFICE MACHINERY AND EQUIPMENT

General

This section sets out the respective responsibilities of the Common Service Departments involved in supply, advice on use and maintenance of office machinery and equipment. This is a brief guide, as responsibility rests with Departments for the equipment or procedures introduced. Further information may be obtained from Departmental instructions, from the publications referred to in the text or from the organisations concerned.
The Central Computer and Telecommunications Agency (CCTA) provides guidance on the implementation of Information Systems (IS) strategies in Departments. It also provides advice, including legal, on all aspects of the procurement process and on the design, development and management of IT systems.

**Environmental Management and Energy Efficiency**

PMs should verify that advice and guidance received by the CCTA and its agents has full regard to the Government Environmental Objectives. The claimed environmental improvements and reductions in energy consumption/use of renewables should be demonstrated and documented.

A brief outline of the services provided by CCTA is given below.

**Managed Services Division**

The Managed Services Division (MSD) promotes the effective use of telecommunications in support of the businesses of Departments and Agencies by providing advice, guidance and services. The telecommunications services within MSD are as follows:

**The Metropolitan Telecommunications Service**

The Metropolitan Telecommunications Service (MTS) provides high quality, value for money fully managed telecommunications services to public sector organisations. Managed by CCTA and delivered in partnership with CCTA’s PFI supplier, Racal Telecom, the MTS is available throughout the UK and currently serves over 52,000 users at 120 different sites.

For many years, MTS has delivered to the desktop a comprehensive range of managed voice telephony services with unique features such as 24-hour, 365 days a year centralised operator and fault reporting services, call logging facilities, user training and a fixed rate tariff inclusive of all call charges. Advances in telecommunications technology now enables the MTS to provide a range of value for money services such as voice messaging, video conferencing and LAC interconnect data services.
Benefits form using MTS include high levels of service measured against specific Service Level Agreements (SLA), with specific credits payable in the event of an SLA not being met; future technology refreshes without costly capital investment; value for money brought about by economies of scale and regular competition for contracts; easy and accurate budgeting for telecommunications services as a result of fixed and inclusive tariffs. (Contact: 0171 273 6601)

GTNet

The GTNet provides dedicated, dial-up access to the Internet for the public sector via the Government Telephone Network (GTN) and Public Service Telephone Network (PSTN). Users are charged a fixed rate per annum for each connection to the service. GTNet also provides electronic mail facilities and a gateway to Internet-based services. (Contact 01603 704701)

Internet Services

CCTA services range from the provision of a basic presence in the World Wide Web, with indexing and search facilities through electronic mail accounts, to assistance in developing departmental servers. Internet Services also offers a full publishing and authoring service. (Contact 01603 704636)

Government Telecommunications Contracts Service

The Government Telecommunications Contracts Service (GTCS) manages the following contracts:

- On behalf of Departments
  - Government Data Network (GDN) with Racal Telecom Ltd;
  - Government Communications Network (GTN) with Cable & Wireless Communications Ltd;
  - Government Telecommunication Services (GTS) with Cable & Wireless Communications Ltd (includes the Government Secure Intranet (GSI); and
    - Government Telecommunications Mobile (GTM) with Cable & Wireless Communications Ltd.

GTCS hosts the annual Telecommunications Conference and Workshops and runs the Government Call Handling and Government Video Conference User groups. (Contact 01603 704645)
GDN details can be obtained from Racal Telecom on 01256 732236 (ask for Sales and Marketing).

GTN, GTM and GSI details are available from Cable & Wireless on 0500 010494 (ask for Sales and Marketing). Departments wishing to use these services should liaise directly with Cable & Wireless on matters relating to installation, planning and maintenance.

**Catalogue Management**

- **G-CAT** is for the provision of IT products and associated services to central government, departments and agencies and other bodies such as local authorities and the police. The contract is with Electronic Data Services (EDS) with Computacenter as their main sub-contractor. (Contact: 01603 704738.)

- **S-CAT** is another catalogue for the provision of IT services to central government, government agencies and other bodies such as local authorities, education authorities and the utilities. There are 35 framework agreements in place. (Contact: 01603 704732).

**Telephones**

Departments are responsible for the provision of their own telephone equipment unless they are MTS customers. Departments requiring new telecommunications equipment should appraise available options in accordance with Treasury Guidelines and ensure that proposals are consistent with their Information Systems (IS) strategy.

PMs should be aware that there are a number of Public Telecommunications Operators (PTOs) in the market place and should consult their Departmental Telecommunications Officer at the outset of any telecommunications projects for advice on the options available. However, Departmental System Managers remain responsible for all day-to-day changes to the telecommunications system, such as the transfer of telephone extensions between rooms.

Departments are responsible for paying all telephone accounts. In jointly occupied buildings, the Holder should recover costs from other Departments unless their calls are metered separately. Call logging facilities should enable costs to be apportioned fairly.
Data Networks

Departments have the option of using the Government Data Network or GTS as described above or may negotiate with the variety of suppliers available in the market place. The Government Telecommunications Contracts frameworks service is likely to be available from mid-1999 and will offer high-speed data networking as well as other services. (Contract 01603 704840)

Premises Requirements

It is important that PMs ensure that all interested parties are in agreement on the services required. Consideration should be given at the earliest opportunity to energy consumption, space requirements, floor loading, ceiling height and any other special requirements for new equipment (including landlord's consent, where applicable).

Consultancy Division

Procurement Assignment Services

CCTA's Procurement Assignment Services (PAS) cover the provision of advice, assistance and support on IT and telecomms procurement of supplies and services including EU/UK legislation, procurement strategies, project scoping, EC advertisement construction, sourcing and requirements definition and articulation, prospectus/questionnaire, proposal and bid evaluation, draft contract production and negotiation and contract management. Service options range from full procurement management through individual focused assignments to ad hoc advice. Other services available include project management, PIR/PERs, acceptance testing and implementation/migration support and quality management systems (QMS) advice.

PAS keeps abreast of emerging best practice and all EU and UK policy developments and updates its processes and consultant awareness accordingly. It is underpinned by specialist legal and commercial intelligence support.
Strategic Assignment Consultancy Service

CCTA’s Strategic Assignment Consultancy Services (SACS) provides management, systems and technical consultancy to all Central Government Departments, Agencies, Non-Department Public Bodies (NDPBs), the National Health Service, Local Government and Police Forces. The service has been in operation for over 20 years and is an integral part of the total package of support offered by CCTA to its customers. It delivers consultancy in accordance with CCTA best practice advice and guidance and can undertake a wide variety of management, organisational, systems and technical assignments, often at very short notice. SACS consultants are all principal consultants from a wide variety of firms.

Customers benefit from using SACS in that it:

• combines the experience and skills of the externally recruited consultants and the public sector knowledge and experience of their Civil Service managers and colleagues in CCTA;

• draws on the latest best practice advice and guidance and technical knowledge available within CCTA;

• has consultants who carry out numerous and varied assignments both with customers and with CCTA in developing best practice guidance and, as a result, build up a comprehensive knowledge of the public sector environment including the prevailing IS/IT policies, procedures and problems;

• sets up assignments and getting started is made simple and quick (no more than two working days);

• allows Departments to use SACS without the need to run their own competitive procurements;

• offers charge out rates which are extremely competitive as the service is non-profit making; and

• has recognised value amongst other private sector consultancies who put forward their best consultants.
SACS assignments can be arranged through the appropriate Account Manager or by contacting the SACS management direct at the address below:

Deputy Director Consultancy Division
Manager Strategic Assignments Consultancy Service
CCTA
2nd Floor
Steel House
11 Tothill Street
London SW 1H 9NF.

**Investment Proposal Service**

The Investment Proposal Service (IPS) covers the provision of advice, best practice and consultancy support on the preparation and presentation of IT investment proposals, business cases and the consideration of PFI in the planning, development, procurement and management of public sector IT.

IPS have in depth knowledge of HM Treasury requirements, has close links with CITU and PFPE and intercepts and contributes to emerging FI best practice.

**Legal and Commercial Practice**

CCTA can provide legal advice on all aspects of procurement and the use of IT in government, including the development and maintenance of model agreements, contract drafting and negotiation and breach of contract action.

In addition, a specialist legal consultancy is available to provide advice on the Internet and e-commerce, EC issues for the acquisition of IT supplies and services and on the development and promulgation of guidance on EC matters.

The Practice is staffed by specialist commercial IT lawyers selected and contracted in from the private sector.

**Best Practice Division**

This Division is responsible for developing and exploiting CCTA’s knowledge base and for researching and articulating IT-related best practice. It manages CCTA’s work programme in response to the Modernising Government initiative and undertakes work for the general good funded by CITU and the CCTA Foundation.
**CCTA Foundation**

The CCTA Foundation is a subscription-based service, which customers can use to varying degrees, depending on their needs. At the entry-level, the Foundation provides information on developments associated with IT in Government. At higher subscription levels, customers can participate in special interest groups which investigate IT issues and carry out research into best practice.

Online access to the Virtual Foundation enables customers to participate in electronic discussion groups and to view selected parts of CCTA’s information base.

**Modernising Government**

This Division manages the work programme co-ordinating CCTA’s services in response to the Modernising Government initiative. The programme involves work on behalf of the Cabinet Office to facilitate departments’ progress towards seamless, electronic delivery of services, as well as Foundation services to address issues in collaboration with Departments themselves. Emphasis will be placed increasingly on interpreting policy into requirements for new services, and on providing practical advice in support of cross-cutting projects.

**Electronic Business**

The electronic business programme carries out research and articulates and demonstrates best practice in regard to electronic commerce and electronic service delivery. A particular focus is on the use of electronic commerce to improve the procurement process, which CCTA is undertaking in collaboration with the Treasury.

**Government Secure Intranet**

The Government Secure Internet (GSI) provides for secure electronic communications between accredited government organisations. This work programme is responsible for overseeing the development of value-added services on the GSI, for fostering its take-up and generally for ensuring the government gets maximum benefit out of the system.
Year 2000 and Euro

The Year 2000 programme supports the Cabinet Office and provides guidance to Departments in connection with the government’s preparations of its own systems for the century date change. Advice is available to Departments, in collaboration with the Treasury, on preparing for the Euro.

IS Management/Technology Best Practice

The programme researches and articulates best practice with regard to IS management and technology-exploitation topics of key concern to CCTA customers. Other than the topics mentioned above, coverage includes Internet/Intranet, information/knowledge management, IS strategic planning, IS-related programme and project management, procurement and partnerships. Delivery is via Foundation events and interest groups, as well as publication in paper form and on the Virtual Foundation.

Publications due in 1999/2000 include:

- new IS Management Guides, covering Strategy, Acquiring IS, Managing Performances, Managing Change, and Managing Services;
- Technology Update, published 10 times a year;
- PRINCE Programme Management Guide (complete rewrite); and
- IT Infrastructure Library, Service Delivery and Service Support rewrites.

This work programme and the associated guides focus on the needs of the intelligent customers. Complementary assessment services are available to enable Departments to check their processes against recognised good practice.

Knowledge Management

This programme concentrates on the implementation of Knowledge Management within CCTA, with the aims of improving CCTA services and enhancing operational efficiency. During 1999/2000, emphasis will switch to Information/Knowledge-sharing within the government IS community.

The programme also oversees CCTA’s international business work sponsored by Cabinet Office to collect research on information-age government worldwide and to represent UK government IS interests in various international and European fora.
CCTA offers departments a service of researching IS-related topics, including suppliers and the IS market, to help them with their decision making.

What should you do?

1. Obtain advice from CCTA.

2. Check if CCTA should be involved in any of your IT-related procurement processes.

3. Use GTN where appropriate.

4. Check that any advice is given in the full knowledge of the Government’s EU objectives and energy reduction targets.
PMR 6.8  DISPOSAL OF OFFICE MACHINERY AND EQUIPMENT

General

PMs should ensure that their Departments are not open to criticism when disposing of serviceable items of IT and other furniture and loose equipment for which they are responsible, by ensuring that every effort is made to maximise proceeds and reuse/recycling of equipment and materials. The Disposal Sales Agency in the Ministry of Defence can also arrange disposals through a variety of contracts which they have set up. For further information, DSA can be contacted at:

6 Hercules Road
London SE1 7DJ
Tel: 0171 261 8698 or 0171 261 8961.

PMs should note the benefits of, when procuring equipment, specifying that the equipment is to be returned to the supplier for reuse, dismantling and recycling.

Departments can, in addition, make their own arrangements for disposal, in which case they must see that every effort is made to achieve the reuse and recycling of equipment and maximise proceeds from the sale of surplus furniture and equipment, including sales to Civil Servants. The following general principles should be observed in conjunction with Departmental practice:

- Other than for small quantities, sales should be by competition, either by auction or by tender.

- Goods should not normally be sold to Civil Servants unless:
  - the goods are on offer for sale in competition to the public generally;
  - the price is not less than would be charged to a member of the public;
  - the Civil Servants are not, by reason of their official position, able to obtain special knowledge regarding the goods to be sold; or
  - the Civil Servants are not, and have not been, officials associated with the disposal arrangements.
Exceptionally, goods not offered for sale to the public generally might be sold to Civil Servants, provided:

- the price is settled in accordance with market rates and does not exceed £50;
- the prior approval of an independent officer in the disposing Department's Establishments or Finance Division has been given; and
- the goods are for personal use and not for resale. The concession is intended to permit the sale of low value items which are no longer required in the public service.

Disposal of Security Furniture and Equipment

PMs should obtain advice from their DSOs regarding disposal of security furniture and equipment on the open market, or to persons or organisations who do not have authorised access to it. Provision and disposal of security items and advice on this may be obtained from:

Securities Facilities Division
St Christopher House
Southwark Street
London SE1 OTE
Tel: 0171 921 4813 (GTN 3813 4813).

Removal of Software and other Security Procedures

PMs should obtain advice from their DSOs and IT branch/group on the procedures to be followed prior to disposing of IT and other office machinery, to ensure that:

- no copyright agreements with suppliers are infringed; and
- no information or other data are stored in the equipment on disposal.

Depending on the purchasing agreement with the supplier, Departments may have to purge software from machines prior to disposal. PMs should ensure that no data or information of any kind is left in the machines on disposal.

Floor Loadings

No new equipment should be ordered or existing equipment moved within a building without first checking limits on floor loadings.
What should you do?

1. Check via PPD for needs of other Departments before disposal.

2. Check Departmental policy on disposal of equipment with your DSO.

3. Ensure that software and data are purged as necessary from equipment prior to disposal.

4. Ensure that all papers are removed from furniture and equipment before disposal.

5. Arrange disposals by auction or tender.

6. Check floor loadings prior to moving any security furniture or equipment.
PMR 7.0  

STORAGE OF MATERIALS

PMs will normally have some direct responsibility for the storage of materials, as will other members of staff and contractors. These materials will range from stationery to cleaning materials and spare parts, fuel, etc.

It is important that PMs obtain advice regarding all such materials from those responsible for them and check that their place and method of storage does not contravene any regulations. Such regulations may range from those related to fire safety (eg flammable materials), to electrical safety (eg obstruction of access to switchgear, etc), to staff Health and Safety (eg COSHH Regulations) and environmental regulations.

PMs will almost certainly require advice from their Premises Advisers and should, with such advice and assistance, carry out Risk Assessments to any new or changing situations, such as temporary storage of materials by visiting contractors, etc.

Care should then be taken in the storage of materials as the storage of some types of material may breach the lease of the property.

What should you do?

1. Ensure materials are stored safely.

2. Ensure that no materials stored in the property breach the conditions of the lease.
PMR 8.0  CATERING

PMR 8.1  SCOPE OF SERVICE

Physical Environment

PMs, in conjunction with their Premises Advisers, will be responsible for ensuring that suitable areas are designated for dining facilities. There should be adequate space to take deliveries and for the safe and hygienic storage of waste. Mechanical and electrical services should be energy efficient and adequate to provide a suitable environment. Advice from the Premises Adviser, a catering consultant or the appointed catering contractor may be required.

Depending upon the service to be provided the catering contractor may be responsible for the provision and maintenance of equipment and/or furniture and fittings.

PMs retain overall responsibility for the safety of staff and should take steps to check that catering contractors are fulfilling their obligations to provide a safe environment in the areas under their direct control.

The scope of service should define requirements for:

• fitting out of kitchens and dining areas;
• supply and maintenance of equipment;
• requirements for utilities and building services; and
• cleaning and waste separation and disposal.

In addition, the scope could include:

• availability - times of opening;
• number of staff; and
• specification for menus and portion sizes.
Food Services

The extent and range of food services provided will depend upon the needs of individual Departments, the size of the building, the number of staff and other occupants and their work patterns. The location of the property and the availability and extent of local services will also have an impact on the type of service to be provided which could include:

- preparation of meals;
- full restaurant service;
- provision of snacks and sandwiches;
- buffet service for meetings and events;
- provision of hot and cold beverages;
- supply, restocking and maintenance of vending machines; and
- separation of waste and disposal

Statutory Requirements

Areas for food preparation are governed by the Food Safety Act 1990 and the Food Safety (General Food Hygiene) Regulations 1995. The Crown is bound by this legislation.

Kitchens may require approval from local Environmental Health Officers and larger catering facilities will come under their control for inspection.

The above legislation covers space planning, finishes, extract ventilation, sanitary provision and the removal of rubbish. PMs should ensure that catering contractors are meeting obligations under the relevant legislation but should also consider areas which are Departmental responsibilities and take advice accordingly.

PMs should also check whether the equipment used or provided by the catering contractors includes any pressure vessels requiring regular inspection and that proper inspection procedures are in place, if necessary. Any catering equipment supplied should have full regard to energy efficiency, water use and chemicals.

External suppliers, including providers of sandwiches and other packaged food, should also comply with the Regulations.
**Fuel Consumption**

Preferably, catering contracts should include for payment of Gas/Electricity accounts by the contractors as part of their liability. Alternatively, Departments may prefer to charge contractors for fuel used, based on meter readings, and PMs should consider installing submeters to enable catering contractors to be charged correctly for fuel consumed and encourage the efficient use of energy.

**Further advice**

Further advice and guidance on the application of the food safety regulations regarding restaurants, canteens, kitchens, etc can be found at H&S 4.22.

**What should you do?**

1. Ensure demarcations of responsibility are clear.
2. Ensure relevant Acts and Regulations are complied with.
3. Make your catering contractors comply with your Department’s environmental objectives and also responsible for the cost of fuel they have used.
PROVIDING THE SERVICE

General

Some or all of the services listed at PMR 8.1 may be provided by a single catering contractor. However, PMs should establish any demarcation in the provision of the service.

PMs may be responsible for ensuring the provision of a suitable space within the property for catering purposes and will also be responsible for ensuring that adequate building services, water, electricity and ventilation are provided in line with the catering contractor’s specification.

Catering contractors may fit out, equip, maintain and clean kitchens and may (although less usually) fit out, equip, maintain and clean eating areas. The level of provision should be established as should responsibility for cleaning and maintenance.

Wherever practical PMs should specify reusable crockery, cutlery and containers and against throwaway/disposable plates, plastics and milk/sugar/condiment packaging.

Buffet Service

If a buffet service is required for meetings and events this may be provided by the catering contractor, otherwise PMs will be responsible for making arrangements with local suppliers. This should be co-ordinated with the booking of meeting rooms and should form part of the standard enquiries from the room booking service.

Small Kitchens and Tea Points

If not already covered by the catering contractor, PMs may be responsible for:

• the provision and maintenance of suitable equipment;
• regular checking and replenishment of supplies;
• cleanliness, lack of clutter and obstruction; and
• signage and information about location.
Cleaning

Cleaning of dining and kitchen areas will normally come within the remit of the normal cleaning contract; however, the responsibility for deep cleaning of refrigerators, ovens, ranges, extract ducts and other equipment should be established and compliance with environmental objectives required.

Waste Disposal and Pest Control

Waste separation and disposal may be covered by a separate contract depending upon the level of food service to be provided. In any event, PMs must ensure that the safe and hygienic storage and disposal of waste is organised effectively. Any evidence of the need for pest control should be dealt with immediately by the contractor who should set down procedures in advance.

Vending

The supply of vending machines may constitute a separate contract and may be supplied on a lease agreement. The machines should be energy efficient and not utilise ozone-depletors (refrigerants).

Suppliers will normally be responsible for the supply, maintenance and replenishment of the machines and should also provide a call-out facility to deal with breakdowns.

PMs should ensure that sufficient machines are available; that they function reliably; that they are replenished frequently, that the call-out response time is adequate and that they operate in an energy-efficient manner i.e. time clocks, motor efficiency devices, etc.

Hazardous Substances

Catering contractors will be responsible for maintaining a register of all hazardous substances used under their contract and for the assessments as required by the COSHH Regulations and ensuring compliance with Departmental environmental objectives.

Fire Safety

PMs should ensure that all catering staff are aware of fire risks and that they are instructed in the use of any fire fighting equipment provided. They should also be aware of the guidance offered in the PACE FSG.
What should you do?

1. Consider setting up a booking facility for catering for meetings, etc.
2. Ensure that responsibility for small kitchens, tea points, etc is clear.
3. Establish cleaning responsibility for catering facilities.
4. Organise effective waste separation, disposal and pest control.
5. Ensure vending machines are adequate, energy efficient and reliable and conform with specification to control.
6. Monitor the performance of catering contractors including compliance with environmental objectives.
7. Ensure that any assessments required under health and safety and food safety legislation are carried out and recorded formally.
PERFORMANCE MEASUREMENT

Performance measures could include quantitative measures such as:

- portion sizes;
- adherence to opening times;
- number of customers;
- energy consumption; and
- percentage of food that is fresh (not frozen), seasonal and locally-produced.

Qualitative measures could include:

- reduction in waste;
- general quality and variety of menus;
- appearance and attitude of staff;
- cleanliness;
- value for money; and
- customer satisfaction surveys.

What should you do?

1. Ensure effective performance measures are in place to monitor the catering provider.
2. Ensure that inspections are undertaken to confirm compliance.
HAZARDOUS MATERIALS

COSHH REGULATIONS

The COSHH Regulations require a Risk Assessment for all hazardous materials stored or used in the workplace. It is not considered appropriate to describe the Regulations here as PMs must have access to a copy of the Regulations and be familiar with their requirements. It should be noted that not all materials found in buildings (e.g., asbestos) are covered by these Regulations and environmental regulations and objectives and it is therefore recommended that PMs seek advice regarding materials used in construction of the building and check for any regulations regarding them. This may preferably be carried out by Premises Advisers.

Further, detailed guidance can be found at H&S 4.11.

What should you do?

1. Become conversant with the COSHH Regulations and Environmental Policy objectives.

2. Comply with the requirements of the COSHH Regulations.

3. Seek advice from your Premises Adviser regarding materials not covered by the Regulations, for example, asbestos and lead.

4. Seek advice from your Premises Adviser if unsure about any aspect of the COSHH Regulations.
ASBESTOS

The health risks associated with asbestos materials are well documented and it is essential that Departments ensure that employees and the public are protected adequately. The risks associated with exposure relate to inhaling asbestos fibres and their subsequent dispersal within the lungs and other parts of the body. This inhalation can cause serious medical conditions. However, the effects of exposure may not be apparent for some time and it is not unusual for symptoms to appear over an incubation period of twenty to thirty years.

Comprehensive advice and guidance on dealing with asbestos can be found in H&S 4.12.
SMOKING POLICY

It is generally accepted that Departments should not encourage smoking whilst at work and most Departments have a No Smoking Policy in offices. However, where there is a perceived requirement, Smoking Rooms may be provided. These rooms should be provided with extract ventilation and sited to avoid fumes permeating other areas.

Further guidance on ‘smoking’ policies can be obtained from the BMI Health Services, Business Information Centre, at the BMI Medical Centre, 46 Wimpole Street, London, W1M 7DG, Telephone 0171 224 4549.

What should you do?

1. Ensure adequate ventilation is provided for any smoking rooms provided.

2. Users of smoking rooms should be reminded of the need for additional vigilance to prevent fire incidents.
LIFT FAILURES

Lifts are subject to statutory inspections by a Competent Person (as defined in legislation) every six months and should also be subject to regular planned maintenance in accordance with Manufacturers' Instructions.

Lift breakdowns or failures are usually due to relatively minor damage to door edges etc, or overloading by occupants.

All lifts used for passengers must have an emergency telephone or bell to alert the Premises Manager's local focal points or the contractors responsible for call-outs. The call-out response time must be minimised as far as practicable and the procedures must be made absolutely clear to all lift users.

In the event that the contractor does not arrive within the time specified in the contract, the local Fire Brigade should be called to attend.

It is also worthwhile considering the use of a trained member of staff or a contractor for freeing trapped passengers. Only a Competent Person (specifically trained) should be permitted access to the lift motor room, etc.

Staff should be advised regarding the use of lifts during fire emergencies (NOT to be used) and outside of normal working hours, the exception being a lift which has been specially modified for emergency use, for example with people with disabilities. This applies equally to cleaners or others. Where staff are allowed to use lifts at such times, the emergency telephone number (e.g., Fire Brigade) must be displayed clearly.

Consideration should be given to the use of lifts by disabled persons and steps taken to ensure that they have adequate emergency facilities.

What should you do?

1. Ensure regular statutory inspections are carried out on time.
2. Ensure that adequate provisions for lift failures are in place.
3. Advise staff regarding use of lifts for procedures in breakdowns and in case of fire.
4. Consider suitability of lifts for use by disabled persons.
5. Obtain advice from your Premises Adviser on lift maintenance, energy efficiency and safety as appropriate.
12.0 TELEVISION RECEIVER LICENCES

The Crown is exempt from television licence regulations only where the television receiver is used purely for ‘Government purposes’, for example, in Departmental Press Offices. If a receiver is being used for recreational purposes of any description, a licence must be purchased; this will include receivers set up to receive satellite, cable or terrestrial broadcasts. However, where a receiver is used solely for the purpose of showing in-house or pre-recorded material such as videos, a licence will not be required.

PMs should establish which receivers in their premises require licensing and that licences have been obtained where they are required.
PMR 13.0  SNOW CLEARANCE

Departments are responsible in law for accidents to staff, public or others arising from failure to take reasonable steps to provide and maintain safe access to their property. This means that snow or ice should be cleared from pedestrian areas as far as is reasonably practicable (extreme conditions excepted).

PMs should plan and make provision for delivery and (where possible) storage of an adequate supply of rock salt before cold weather and should make arrangements for its application when required. Where Department have no central contract for such provisions, PMs may wish to include them in a Grounds Maintenance or other Property Management contract.

It should be noted that certain ice clearing chemicals are irritants and require the use of gloves, etc by the user under health and safety legislation. In any case where proprietary clearing agents are used, PMs should ensure that COSHH risk assessments are undertaken and that staff are advised regarding the precautions to be adopted as advised by the manufacturer.

The use of chemicals should be avoided. The run off is likely to be to storm drains with the risk of polluting water courses. Any chemicals should be checked for compliance with environmental objectives.

During periods when slippery conditions are unavoidable, warning notices should be displayed clearly.

What should you do?

1. Ensure the provisions for snow clearance are in place.

2. Ensure COSHH risk assessments are undertaken regarding the use of snow clearing chemicals and advise staff, etc accordingly.

3. Post warning notices where slippery conditions exist.
VEHICLE/CYCLE PARKING

Departments are likely to have a parking policy with which PMs have to comply. However, the following advice may prove useful:

- Local Authority regulations impose restrictions on building or extending premises without providing adequate numbers of car parking spaces and consideration of transport arrangements;
- the Chronically Sick and Disabled Persons Act 1970 and the Disability Discrimination Act 1995 require provision of spaces for disabled drivers and these must be of designated size for access;
- bicycle storage (preferably covered) should be provided to encourage, where possible, the use of cycles to visit the building;
- disclaimer notices displayed in car parks, etc do not normally absolve the Department from responsibility for reasonable care to avoid damage, theft, etc; and
- snow and ice should be cleared from areas where drivers have to leave their vehicles.

Wheel clamping should not be used to deter unauthorised parking.

What should you do?

1. Comply with Departmental rules and other regulations.
2. Ensure that cycle storage is provided if required.
PMR 15.0  BUSINESS CONTINUITY PLANNING

The emergency procedures discussed in H&S 7.0 relate to the safety of staff and, to a lesser extent, the building and services. Additionally, some Departments may be responsible for valuable or rare items, eg public records, which are susceptible to damage in certain circumstances, for example by flooding, roof leaks, etc.

Detailed guidance on the contingency measures, actions required and preventative measures necessary to ensure the continuity of business activities is contained in the PACE Business Continuity Planning Guide (BCPG). Furthermore, GACC contains useful information and general advice relating to circumstances where extensions of existing or new planned maintenance operation contracts are considered necessary to ‘insure’ against possible disasters.

What should you do?

1. Ensure risk assessments are carried out by those responsible for rare or valuable items and that any special procedures or precautions required to eliminate and/or control potential losses are implemented.

2. Where special procedures are needed, and if appropriate, establish extensions to existing or new contracts to cover any additional planned maintenance and operation requirements.

3. Communicate details of the special procedures to be adopted to all interested parties. Check that everyone fully understands the arrangements and test the system.

4. Periodically review the risk assessments and contingency plans to ensure that such remain valid.

5. Establish whether a Business Continuity Plan exists for your Department and, if not, consider producing one or draw senior management’s attention to the need for one. Consult the PACE BCPG as necessary.
PMR 16.0  CEREMONIAL PROCEDURES

PMR 16.1  VISITING DIGNITARIES

This section provides guidance on arrangements that may be made by PMs when special visits are made by visiting dignitaries. It covers the specific areas which should be considered when distinguished visitors such as the Royal Family, the Prime Minister, Ministers and MPs visit Departments.

PMs may be involved in all aspects of the planning and organisation for a visit and will normally receive specific instructions on their level of involvement through internal arrangements.

It is important to note that Departments will wish to show themselves and the property in the best possible manner and PMs should be aware that the overall appearance of the property will generally be the first and long lasting impression made on any visitor. It is therefore essential that the property (including grounds) is kept as clean, tidy and demonstrates sound management and full regard for the environment.

Ministers, MPs and Other Important Visitors

PMs will receive specific instructions concerning the visits and it is not expected that special arrangements or precautions will be required to be taken, apart from providing clear and unimpeded access to the main entrance of the property. It is essential, therefore, that PMs pay attention to detail to ensure that the property is clean, tidy and demonstrates environmental awareness.

Royal and Prime Ministerial Visits

Departments will generally receive specific instructions concerning the arrangements for the visit either directly from Buckingham Palace or alternatively from the Lord Lieutenant of the Counties Office (Royal visits) or from the Prime Minister's Office.

The Permanent Secretary and/or senior officials of the Department concerned will probably be in attendance during the visit and will require to approve all the arrangements made for the visit.
The following is a list of items which must be considered:

- programme: times of arrival and departure;
- arrival location and departure location;
- the designated route to be taken by the visitor;
- presentations made to the visitor and who will be presented;
- depending on the timing of the visit arrangements may be required to be made for either coffee, lunch, afternoon tea;
- security arrangements. This is generally organised through the local police force who will provide specific requirements. It should be noted however that depending on the size and location of the property staff and public car parking may not be permitted within the grounds of the property or around the perimeter of the site;
- the building both internally and externally reflects sound management. Consideration should also be given to the external appearance of adjoining properties (this may involve discussion with adjoining owners) so that they too reflect effective management;
- whether it is permissible to fly a flag during the visit;
- toilet facilities for the distinguished guest;
- whether a raised dais will be required;
- what arrangements will be made for the entourage during the visit; and
- what arrangements will be made for staff during the visit.
FLAG FLYING

On Crown premises throughout the country, Union Flags, together with national flags in Scotland, Wales and Northern Ireland, are provided for property with flagstaffs, to be flown on appointed days and other special occasions.

If the property has a flagstaff, flags must be flown in accordance with the rules detailed below on the dates listed and may also be flown on other dates, at the discretion of the individual Department:

- in Jointly Occupied Buildings, Holders are responsible for the hoisting and lowering of flags at all appropriate times;

- national and approved Departmental flags may be flown with the Union Flag on all days nationally appointed for flag flying except as otherwise agreed with the Department for Culture, Media and Sport (DCMS) who can be contacted at 2-4 Cockspur Street, London, SW1Y 5DH (Tel: 0171 211 2108; Fax: 0171 211 2115). The Union Flag must always be flown in a superior position, i.e:
  - the highest flagstaff; or
  - the centre flagstaff where there is an odd number of poles of the same height; or
  - the left centre flagstaff viewed from the front of the building where there is an even number of poles of the same height;

- under no circumstances should more than one flag be flown on any one flagstaff; and

- advice about the procedures in respect of Royal and personal standards flown during visits by the Sovereign or member of the Royal Family should be directed to the relevant Private Secretary of either the Sovereign or the visiting member of the Royal Family at Buckingham Palace.
OCCASIONS ON WHICH FLAGS ARE TO BE FLOWN AT HALF MAST

Flags must be flown at half mast on the following occasions:

- from the announcement of the death and up to the funeral of the Sovereign, except on Proclamation Day, when they are hoisted from 11am to sunset;

- the funerals of members of the Royal Family, subject to special commands by the Sovereign in each case;

- the funerals of foreign rulers, subject to special commands by the Sovereign in each case;

- the funerals of Prime Ministers and ex-Prime Ministers of the United Kingdom, subject to special commands of the Sovereign in each case; and

- other occasions by special command of the Sovereign which will be communicated by DCMS to all Departments.
OCCASIONS ON WHICH DAYS FOR FLYING FLAGS IN FULL COINCIDE WITH DAYS FOR FLYING FLAGS AT HALF MAST

Flags must be flown in full on the following occasions:

- for a member of the Royal Family or near relative of the Royal Family, subject to special commands by the Sovereign in each case; and

- on the day of the funeral of a foreign ruler.

If the body of a very distinguished subject is lying at a Government Office, flags may fly at half mast on that office until the body has left (provided it is a day on which flags would fly) after which flags should be hoisted in full. On all other Government buildings, flags will fly as usual.
**PMR 17.4 CURRENT DAYS FOR HOISTING FLAGS ON GOVERNMENT BUILDINGS**

Flags will fly from 8am until sunset on the following days:

<table>
<thead>
<tr>
<th>Date</th>
<th>Occasion</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 February</td>
<td>Her Majesty's Accession</td>
</tr>
<tr>
<td>19 February</td>
<td>Birthday of the Duke of York</td>
</tr>
<tr>
<td>1 March</td>
<td>St David's Day (in Wales only, see Note 1)</td>
</tr>
<tr>
<td>10 March</td>
<td>Birthday of The Prince Edward</td>
</tr>
<tr>
<td>Second Monday in March</td>
<td>Commonwealth Day</td>
</tr>
<tr>
<td>21 April</td>
<td>Birthday of Her Majesty the Queen</td>
</tr>
<tr>
<td>23 April</td>
<td>St George's Day (in England only, see Note 1)</td>
</tr>
<tr>
<td>8 May</td>
<td>European Day (the European flag should be flown in addition to the Union Flag, subject to the rules detailed at PMR 17.1 above)</td>
</tr>
<tr>
<td>2 June</td>
<td>Coronation Day</td>
</tr>
<tr>
<td>- June</td>
<td>Official Celebration of Her Majesty's Birthday (see Note 2)</td>
</tr>
<tr>
<td>10 June</td>
<td>Birthday of The Duke of Edinburgh</td>
</tr>
<tr>
<td>4 August</td>
<td>Birthday of Her Majesty Queen</td>
</tr>
<tr>
<td>15 August</td>
<td>Birthday of The Princess Royal</td>
</tr>
<tr>
<td>21 August</td>
<td>Birthday of The Princess Margaret</td>
</tr>
<tr>
<td>Second Sunday in November</td>
<td>Remembrance Day</td>
</tr>
<tr>
<td>14 November</td>
<td>Birthday of the Prince of Wales</td>
</tr>
<tr>
<td>20 November</td>
<td>Her Majesty's Wedding Day</td>
</tr>
<tr>
<td>30 November</td>
<td>St Andrew's Day (Scotland only, see Note 1)</td>
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<tr>
<td>also</td>
<td>The day of the opening of a Session of the Houses of Parliament by Her Majesty (see Note 4)</td>
</tr>
<tr>
<td>and</td>
<td>The day of the prorogation of a Session of the House of Parliament by Her Majesty (see Note 4).</td>
</tr>
</tbody>
</table>
Notes

1. Where a building has two or more flagstaffs, the appropriate national flag may be flown in addition to the Union Flag, but not in a superior position.

2. Date to be notified annually.

3. Flags should be flown all day ie 8am until sunset.

4. Flags should be flown on this day even if Her Majesty does not perform the ceremony in person. Flags should only be flown in the Greater London area.

5. The Royal Standard is never hoisted when Her Majesty is passing in procession. If the Queen is to be present in a building, PMs should seek further information from DCMS.

6. The only additions to the Schedule will be those which are notified to DCMS by Her Majesty’s Command and they will be communicated by DCMS to the other Departments.

What should you do?


2. Ensure that flags are flown at appropriate times and in the appropriate manner.
PMR 18.0 REQUESTS FOR INFORMATION, FILMING AND PHOTOGRAPHY

There may be occasions when PMs are approached by outside organisations for:

- information about the Department's services and programmes;
- permission to use the Department's publicity material for entertainment/news purposes; or
- to use cameras and other related equipment on the Department's premises.

All such requests should be referred to the DSO at the Department's Press Office or other designated officer in accordance with Departmental procedures.
VACANT PREMISES

General

Property which is to be left vacant and unattended for any considerable period eg months, present special problems to the PM concerned. The following points should be borne in mind with respect to vacant property.

Risk Assessment

When property is to be left vacant for long periods, new Risk Assessments should be carried out and actions taken to provide for safety, environmental impacts, security and avoidance of deterioration.

Security

PMs should ensure that the property is secured against vandalism (eg protect windows), trespassers, theft and squatters. Arrangements should be made for regular patrols and/or alarms to be in use.

Plant and Services

Advice should be obtained regarding the minimum conditions which need to be maintained (temperature, humidity, etc) in order to prevent deterioration of the building or any of its contents, due to condensation, frost, etc.

Efforts should focus on minimising the financial and environmental costs of vacant premises. Plant such as fans, air conditioning, lifts, etc may need to be run regularly to ensure they themselves do not deteriorate. Re-commissioning plant which has been idle for long periods can be more expensive than running the plant whilst the building is empty. Consult with the Premises Adviser to minimise the risks and costs.

Water supplies should be turned off wherever this is considered safe in consultation with the Premises Adviser but the requirements of automatic fire detectors and sprinkler systems, for example, should be considered first.
Safety of Visitors

Staff or others who need to visit vacant property should be advised regarding their personal safety and should always:

• avoid visiting alone if possible;

• tell others where they have gone and where, for example, duplicate sets of keys can be found, tell others when they think they will return/when they will return, consider reporting in at pre-determined intervals; and

• avoid using lifts.

Safety of Public

Although the building is empty, it should still be inspected regularly for dangers to passers by (eg from loose roof tiles, cladding, gutters, etc). This responsibility extends also to trespassers, and Departments could face prosecution should a trespasser be injured in premises where it could be proved that Departments had failed to maintain them in a reasonably safe condition.

What should you do?

1. Ensure the security of vacant property.
2. Monitor the ongoing costs (energy, water, maintenance).
3. Obtain advice regarding running of plant
4. Ensure safety of staff visiting vacant property.
5. Ensure that vacant property does not present a hazard to the public.
6. Obtain advice from your Premises Adviser on aspects of vacant premises, as appropriate.
7. Ensure frequent risk assessments are carried out for property left vacant for long periods.
MAINTENANCE, ALTERATIONS AND MINOR NEW WORKS
MTCE 3.0 LEGISLATION RELATED TO MAINTENANCE, REFURBISHMENT AND NEW WORKS

MTCE 3.1 INTRODUCTION

MTCE 3.2 BUILDING REGULATIONS
  MTCE 3.2.1 INTRODUCTION
  MTCE 3.2.2 CROWN EXEMPTION
  MTCE 3.2.3 COMPLYING WITH THE BUILDING REGULATIONS
  MTCE 3.2.4 SERVICES TO BE PROVIDED BY BUILDING CONTROL CONSULTANTS
  MTCE 3.2.5 SELECTION OF BUILDING CONTROL CONSULTANTS
  MTCE 3.2.6 INSURANCE
  MTCE 3.2.7 CERTIFYING COMPLIANCE
  MTCE 3.2.8 CONTRACTUAL ARRANGEMENTS
  MTCE 3.2.9 DISPUTES BETWEEN THE BUILDING CONTROL CONSULTANT AND THE DESIGNER
  MTCE 3.2.10 RELAXATION OF THE REQUIREMENTS OF BUILDING REGULATIONS

MTCE 3.3 FIRE SAFETY CONSIDERATIONS

MTCE 3.4 TOWN AND COUNTRY PLANNING ACTS

MTCE 3.5 CONSTRUCTION (DESIGN AND MANAGEMENT) REGULATIONS 1994
  MTCE 3.5.1 WHEN DOES CDM APPLY?

MTCE 3.6 WATER ACTS AND WATER BYELAWS 1989

MTCE 4.0 DAY TO DAY WORKS PROCUREMENT

MTCE 4.1 BUILDING FABRIC

MTCE 4.2 MECHANICAL AND ELECTRICAL PLANT AND SERVICES
THE ROLE OF PREMISES MANAGERS

Depending on the individual Department’s policy for organising the management of its estate, PMs will have varying levels of responsibility for the procurement, supervision and management of contracts for minor new works, refurbishments and maintenance of premises under their control. The level of responsibility may be different depending on the nature and extent of the work as well as the particular estate/premises management regime in place. In addition, PMs have to be able to evaluate and prioritise the recommendations received from their Premises or other Advisers to ensure the efficient and effective management of the premises for which they are responsible. It is not the intention that PMs should become amateur engineers, surveyors or environmental managers as others are there to give this professional advice. The purpose of this section is to highlight some of the more common issues PMs may face in undertaking maintenance, alterations and minor new works.

It is imperative that PMs should establish with their own departmental property HQ/property centre or line management, the extent of their own responsibilities, delegation levels, etc, as well as the contracts currently in place and how their roles may interact with those of contractors. PMs should work very closely with their Premises Advisers on how their respective responsibilities should interlink and agree a satisfactory communication strategy to ensure that no conflicts or ambiguities arise. In multi-occupied or leased premises, communication channels need to be established and maintained with the other occupants as well as the landlord to ensure that adequate consultation takes place prior to commencement of works. The responsibility for this consultation cannot be delegated to contractors.

What should you do?

1. Ensure that you are clear as to the extent of your role and responsibilities.

2. Establish clear channels of communication with:
   - your property centre/line management;
   - your Premises Adviser;
• the House Committee in JO Bs;

• your FM Contractor, Provider or Agent; and

• the Landlord, where necessary.

3. Consult with your Premises Adviser to ensure that the respective responsibilities are clear.
MTCE 12

ENVIRONMENTAL MANAGEMENT CONSIDERATIONS

When investigating maintenance, alterations and minor works, PMs should give the same degree of consideration to environmental issues as when carrying out major works or new builds. This can only be achieved fully by adopting an integrated approach at the commencement of each project.

What should you do?

Ensure that all opportunities to achieve environmental improvements are identified and incorporated where cost effective (i.e., improvements to insulation, energy efficiency, etc.).
Irrespective of the particular Departmental policy for managing premises under PMs’ control, it is very likely that they will have some responsibility for ordering, managing, liaising, supervising or record keeping, during maintenance, alterations and other minor works to their premises. Part of this responsibility may be to ensure that the works are delivered to the standard specified, that work is completed prior to payment or that the health and safety of the individual department's employees, other occupants, visitors and contractors' staff, is not compromised.

Some examples of common maintenance, alterations and other minor works, commonly called ‘minor works’, which PMs have often to deal with are listed below, together with the repercussions which may result if serious thought and care is not taken in their briefing, design and execution.

In undertaking works to the building fabric, PMs should be clear about:

- their Departments’ strategy for the procurement of works;
- responsibility for supervision of contractors and sub-contractors, security passes, permits to works, etc;
- frequency of inspections, visits, reports, etc;
- responsibility for routine tasks such as the cleaning of gutters, drainpipes, tanks, drains, wastes, gulleys, etc;
- identification of environmental risks and issues;
- response times for emergency attendance to leaks, storm damage, broken windows, etc;
- access for plant, storage areas, etc;
- contractors’ office/workshop space, working areas;
- whether Grounds Maintenance (eg footpaths, fences etc) is to be included;
- permitted hours of work;
- frequency of routine tasks (may be based on time or condition at inspection); and
- method of pricing unforeseen or extra works, etc.
MTCE 13.1  CHANGES TO LAYOUTS

Simple changes to office layout will often require modifications to:

- electrical power circuits;
- IT/telecom circuits; lighting layout and switching;
- heating circuits;
- ventilation/air conditioning;
- fire alarms;
- security alarms;
- fire escape routes; and
- fire compartment requirements (eg changes to fire certificate provisions, etc, if a fire compartment is breached).

Clearly, careless briefing or specification of such apparently minor alterations to layouts can cause problems, and PMs should always involve their Premises Advisers in agreeing requirements. In particular, sketches, etc from occupants should not be used directly for ordering such works from contractors, without professional input.

Any modifications or changes of lighting fittings or layout may cause glare, over or under illumination, or discomfort to occupants and reduce energy efficiency. PMs should seek advice from their Premises Advisers before authorising any changes.

What should you do?

Seek advice from your Premises Manager before authorising any layout changes.
MTCE 13.2  **CHANGES TO VENTILATION/AIR CONDITIONING SYSTEMS**

These systems are installed, set up and ‘balanced’ to provide correct air volumes, air velocities, noise levels, etc. Any change or extension to such systems requires a re-appraisal of the design and, possibly, changes to the central plant, etc. No changes, adjustments, extensions, blocking-off or removals should be attempted without advice from Premises Advisers.

The problem of overheating in summer to certain rooms due to solar gain, equipment gains etc, is often treated by the provision of wall or ceiling mounted, or free standing room air conditioning units. In spite of manufacturers’ claims, such provision is rarely satisfactory, unless a proper, professional design, based on calculations, has been carried out and such supplementary cooling should also be subject to risk assessments to determine the effects on power loadings, etc.

Any change from open plan offices to cellular or vice versa should be subject to an in-depth study by a heating and ventilation professional with the objective of providing a solution that does not involve air conditioning.

**What should you do?**

Seek advice from your Premises Adviser before making any changes.
MTCE 1.3.3  **CHANGES TO HEATING SYSTEMS**

It is common for additional heat emitters to be provided or revised layouts to be undertaken without due care and without a specification having been provided by Premises Advisers. Similar comments apply as in the preceding Section in order to avoid over or under heating, loss of balance in the system, loss of control of temperatures, overloading the electrical system, etc.

**PMs** should note that modern heating systems frequently have sophisticated controls and they should not attempt to alter any control setting without first having been advised by their Premises Advisers that this is appropriate.

**What should you do?**

Seek advice from your Premises Adviser before making any changes.
MTCE 13.4  **CHANGES TO ELECTRICAL SERVICES**

The IEE Wiring Regulations for Electrical Installations, Sixteenth Edition, 1991 require that any modifications or extensions to existing electrical systems must be undertaken by appropriately trained persons. The proposed works must involve checks that the existing systems are suitable for such modifications and include tests upon completion. The Regulations also require testing upon completion and for the circuit design to be updated. All of this, in the context of the office environment, requires PMs to obtain advice and assistance from their Premises Advisers and not to rely on the electrical contractor to comply with these requirements.

One of the most common modifications in offices is the piecemeal addition to, or alteration of, power circuits and socket outlets. However, this is one of the actions most likely to compromise the safety of occupants if not carried out in accordance with the Regulations.

**What should you do?**

Seek advice from your Premises Adviser on all work involving changes to electrical services.
MTCE 13.5  **CHANGES TO STRUCTURAL ELEMENTS**

Cases have arisen (albeit rarely) of the structural integrity of buildings being compromised by changes to layouts involving removal of load bearing walls, columns etc. PMs should always seek advice from their Premises Advisers before any existing building component is removed.
MTCE 13.6  **CHANGES TO HOT AND COLD WATER AND DRAINAGE SYSTEMS**

No alterations or additions to facilities such as washbasins, toilets, showers, tea points, etc, should be authorised without an appraisal of the water supplies and drainage systems by Premises Advisers.

**What should you do?**

1. Obtain advice from your Premises Adviser or Departmental Safety Officer before any alterations/additions or changes are undertaken.

2. Evaluate, prioritise and implement any recommendations in accordance with your Department's business aims and consider carefully any other implications or impacts of such recommendations.
MTCE 13.7  GROUNDS MAINTENANCE

The following is a list of some of the more usual functions covered by grounds maintenance contracts for which PMs may be responsible for supervising:

- grass cutting (the contract may specify frequency or maximum length of grass);
- maintenance of borders, shrubs, etc including weed control, plating, pruning, spraying, etc;
- leaf clearance;
- snow clearance;
- paths, roads, pavings, etc;
- hedge clipping;
- fences, walls, barriers, gates, guardrails, bollards, etc;
- car parks (cleaning, marking etc);
- trees (regular inspections for health and safety, pruning, planting, felling, etc);
- land drainage;
- road and car park drainage cleaning and maintenance;
- pond maintenance, cleaning; and
- lighting of paths, car parks, etc.

It should be borne in mind that trees offer benefits including shade, shelter, aesthetic and conservation. On occasion, they can present a health and safety hazard and should be included in the regular inspection regime. Where trees are planted around buildings, advice should be obtained from Premises Advisers to avoid problems with the building foundations. This is especially important in areas with clay soils.
**What should you do?**

1. Consult your Premises Adviser to define an appropriate maintenance strategy.

2. Seek advice from your Premises Adviser on the management of trees near buildings.
MTCE 13.8  RISKS TO STAFF AND OTHERS DURING WORKS

Whenever contractors carry out work in occupied property, the number of hazards and the number of associated risks increase greatly. PMs are responsible for ensuring that the risks to employees, contractors, visitors and others are identified, analysed and kept to a minimum even though they may not always understand the technical aspects of the works.

Nevertheless, PMs should note that the contractors are responsible for undertaking suitable and sufficient risk assessments of the proposed works and for furnishing the employer with details of the measures to be taken to eliminate H&S risks where possible or, alternatively, reduce them to the lowest extent reasonably practicable. In some situations, such as where the operations are straightforward, it may not be necessary for contractors to record the risk assessments formally and it is acceptable for details of these to be conveyed to PMs verbally. However, for more complex procedures risk assessments will need to be documented and copies provided to PMs.

What should you do?

1. Request details of the risk assessment for the proposed works from the contractor.
2. Identify the exact location(s) of work and possible effects on the routine running of the property.
3. Identify any special hazards (e.g., noise, emissions) to which employees, contractors, visitors or others may be exposed as a result of the activity of the contractors, or where appropriate, the effects of the Department's activities on contractors' employees.
4. Identify when the work will start and end and the need for any permits.
5. Identify any areas the contractor will need for safe storage of equipment, oils and chemicals.
6. Identify all essential services (e.g., water, gas, electricity) which may be affected by the proposed works.
7. Plan access and identify any special equipment needed to provide safe access/a safe workplace.
8. If appropriate, amend emergency procedures and ensure that the temporary arrangements adopted are communicated to, and understood by, all concerned. The temporary arrangements and any affects the works will have on normal operations must be communicated to all interested parties. This is particularly important in JO Bs and the relevant House Committee should be used as the forum for exchanging information, etc.

9. Take advice from your Premises Adviser as appropriate.
MTCE 13.9 RISKS TO CONTRACTOR’S EMPLOYEES DURING WORKS

In addition to PMs’ responsibilities for ensuring safe working environments for employees and visitors, they also have obligations to make sure that the property and operations conducted therein do not expose contractors’ employees to H&S risks. Contractors should be allowed to inspect the Health and Safety File and, if appropriate, the Asbestos Register for the premises, as required under the CDM Regulations, for confirmation of the known hazards. A set of model instructions on Health and Safety issues for Contractors is attached as an Annex to this section.

In a number of circumstances, it may be necessary to evacuate a property and it is important that contractors working in, or on, the premises are aware of the evacuation procedures. In particular, contractors should know the means of escape from the premises, not only for their own workforce, but to ensure that the means of escape for others is maintained. This may be especially relevant if a designated means of escape route is through the contractor’s working area or site and/or site compound. Means of escape should be available at all times, not just while the contractors are working. Similarly, if an accident/incident occurs affecting the contractors’ employees, the details should be recorded and, if appropriate, reported to the HSE. Contractors should, therefore, be advised of these particular procedures, and also be given information on departmental first aid arrangements.

What should you do?

1. Ensure the contractor is informed of any potential hazards, eg asbestos, fragile roofs, etc.
2. Ensure the property is well maintained and any identified hazards (eg torn carpets) are repaired promptly.
3. Allow the contractors to familiarise themselves with the property in general, paying particular attention to the electricity, gas and water supplies. (NB: they need to be aware of how to isolate supplies in the event of an emergency.)
4. Ensure the contractor has access to a copy of any safety manual and emergency instructions/procedures used by the Department.
5. Make available to contractors any relevant risk assessments used by the Department, together with the Health and Safety file and environmental practices for the premises.
6. Ensure contractors are informed of emergency procedures, i.e. evacuation, and accident/incident reporting procedures, including first aid arrangements.

7. Take advice from your Premises Adviser and/or Departmental Safety Adviser as appropriate.
ANNEX MTCE 1.3.9/1 - MODEL INSTRUCTIONS ON HEALTH AND SAFETY ISSUES FOR CONTRACTORS

DEPARTMENT [ ]

The Department regards the health and safety of its employees, contractors who work on our premises and the public it serves to be of prime importance.

To maintain our premises, equipment and services in good order we use a wide range of contractors.

All the work that you carry out in the Department's premises should be done without causing accidents to yourselves or putting the Department's staff or the public at risk of injury or ill health.

Nothing in this booklet relieves contractors or their employees of the requirements placed upon them by the Health and Safety at Work etc Act 1974 and other relevant prescribed Regulations, Approved Codes of Practice and Guidance.

PLEASE READ THIS BOOKLET CAREFULLY AND FOLLOW THE INSTRUCTIONS GIVEN TO YOU BY YOUR DEPARTMENTAL CONTACT
POINTS TO REMEMBER

On arrival at the premises, you should first make contact with the named person given to you by the Premises Adviser to clarify the following:

• the day of the routine Fire Alarm test;

• details of emergency procedures, ie evacuation routes and location of assembly point;

• accident/incident reporting arrangements and first aid facilities;

• details of operational hours;

• the location of the toilets and refreshment facilities;

• Departmental smoking policy; and

• location of hazardous materials or substances, eg asbestos.

Please note that the guidelines in this booklet also apply to any work undertaken outside normal operational hours.
ESSENTIALS

Safety Signs  Ensure sufficient, correct safety signs are erected.

Electricity  Use 110V hand-held equipment only.

Drilling  Make sure you know where cable or pipes run under floors and in walls. Protect people from dust and debris.

Excavations  Use fixed barriers to stop people falling. Check where underground services are located.

Overhead work  Only use ladders or approved scaffolding. Protect those who will be working or passing below you.

Materials  Store materials only as agreed. Ensure compliance with COSHH Regulations and environmental policy.

Flammables  DO NOT use gases or solvents without the permission of your departmental contact.

PLEASE ACT AND DRESS APPROPRIATELY WHILST ON THE DEPARTMENT’S PREMISES

PLEASE NOTE ALCOHOL CANNOT BE BROUGHT ONTO THE DEPARTMENT’S PREMISES

PLEASE CLEAN THE WORK AREA AT THE END OF EACH DAY AND WHEN YOU HAVE FINISHED YOUR TASK

[NO SMOKING ON THE DEPARTMENT’S PREMISES] (where applicable)
COMMUNICATIONS

Before and during any works programme it is essential that you and the departmental contact keep each other informed about how the project is progressing.

Your Departmental contact must:

• tell you about potential hazards; you will have been given the opportunity to familiarise yourself with the property - especially the gas, electricity, water supplies and drainage;

• inform you if any other, unrelated work needs to be carried out when this will impact on the work being done by you; and

• inform you of accident/incident/spill reporting procedures and First Aid provision within the Department's premises.

You must:

• inform your Departmental contact of the programme of work beforehand so that any inconvenience to occupants and Departmental operations is kept to a minimum; keep your Departmental contact informed if there is any alteration to the planned programme;

• inform your Departmental contact of any potential hazards you are bringing to the work site and the measures proposed to control the risks;

• inform your Departmental contact if any employee, member of staff or the general public is involved in any type of near-miss;

• inform your Departmental contact of any accidents occurring on Departmental premises so that they can be recorded in the Department's accident book. You must also ensure that your own accident book is completed and that any accidents falling within the scope of RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995) are reported to HSE as appropriate;

• report any discovery or suspicion that work performed by others is in breach of any notices, regulations or bylaws; and

• obtain the necessary clearances before erecting any scaffolding.
SECURITY

Any work carried out on the Department’s premises can pose a threat to general Departmental security arrangements, either because of the increase in materials and equipment or the comings and goings of additional personnel.

Therefore:

• if asked to do so, you must give the Department a list of names and addresses of anyone involved in the works;

• your personnel may be issued with passes which should be handed back on demand; in all cases you must, at your own expense, provide photo passes;

• no photographs may be taken without prior permission;

• you must ensure that no unauthorised persons enter the site;

• where work is to be carried out inside a Departmental building, you must report to the Departmental contact or security on arrival/departure on each occasion; and

• you should discuss security issues with your Departmental contact and introduce measures to avoid possible security risks by access to premises via scaffolds or ladders.
LOOKING AFTER YOURSELF AND OTHERS

It is your responsibility to carry out the work in a manner which ensures the health and safety of your own employees and that of any other contractors as well as staff and members of the general public and is also environmentally sound.

Please:

• do not put yourself or others in danger;

• make sure there are safe systems in operation; if any work appears to be unsafe or poses an environmental risk, discuss this immediately with your departmental contact;

• comply with all statutory requirements, guidance and codes of practice, eg provision of Personal Protective Equipment as necessary;

• use the washing and toilet facilities made available and leave them clean;

• eat and drink only in the areas provided;

• supply and use barrier cream where appropriate; and

• keep noise to a minimum; you will be informed of any restrictions - the playing of radios, personal stereos, etc will not be allowed;

• use only approved materials and substances.
EXCAVATIONS/OPENINGS & CONFINED SPACE WORKING

On some works programmes it may become necessary to carry out major alterations to the building structure. It is essential that great care is taken.

• you must ensure that you know where drains, cables, water and gas mains are before beginning any excavation; this also involves informing the relevant authority;

• care must be taken to make sure that any work on the premises does not make unsafe any other parts of the premises;

• all openings must be well fenced off with clear warning signs posted;

• special precautions must be taken to ensure that access to confined spaces such as ducts is safe; if necessary, forced ventilation must be provided; and

• for work carried out in confined spaces, suitable arrangements must be made for rescue procedures.

BARRIERS/OPENINGS

It is clear that any building work will lead to a level of disruption. However, this needs to be kept to a minimum so that day to day business can carry on. Clearly, the safety of the public, Departmental staff and your employees is paramount.

• fixed barriers should be erected and there must be appropriate safety signs; these must be maintained at all times;

• all openings should be protected adequately, with clearly visible signs, especially when you are not present (for example flashing lights); and

• signs should not be covered, defaced or removed until the work has been completed.
WORKING AT HEIGHTS

Approximately 60% of all accidents in the construction industry are caused by falls from heights. When working above ground it is important to take every possible precaution.

You should:

• make sure that scaffolding and working platforms provide adequate working space and are properly constructed and inspected; access ladders must be constructed soundly;

• check that toe boards and hand rails are fitted to any scaffolding above two metres high;

• make sure ladders and crawler boards are secured properly;

• make use of guard rails, safety harnesses, eye bolts and safety nets where appropriate;

• make sure that any materials and equipment on roofs are kept to a minimum and are correctly stacked or secured; and

• ensure ladders and scaffolds are erected and secured so as to prevent unauthorised use at all times; use warning and prohibition signs where necessary.
PLANT AND EQUIPMENT

Works to be carried out in the Department's premises require machinery, equipment and materials. Their security, how they are used and the dangers they pose to their users, those around them and to the environment need to be thought about.

You should ensure that:

• all major items of plant and equipment must be suitable for the purpose intended and have been regularly maintained; none of the equipment should be borrowed from the Department;

• blowlamps and paint strippers are to be used with extreme caution (see Fire Regulations) and are subject to the Department's Permit to Work system;

• boilers are to be sited in safe places and not left unattended when alight;

• internal combustion engines should only be placed in well-ventilated areas;

• all materials subject to the Control of Substances Hazardous to Health legislation must be used in accordance with the Regulations (see Toxic and Flammable substances);

• every effort possible must be made to protect staff and the general public from the effects of noise from machinery;

• oils, fuels and chemicals stored on site should be properly labelled, secured and bunded;

• refuelling procedures; and

• emergency procedures/spill procedures.
TOXIC AND FLAMMABLE SUBSTANCES

It may be necessary to use toxic or flammable substances. Subject to the Department's Environment Policy, which includes avoiding the use of VOCs such as solvents in paints, strippers and cleaners, every care must be taken to comply with the requirements of the Control of Substances Hazardous to Health Regulations 1994 and any later amendments and the Control of Asbestos at Work Regulations 1987 and any subsequent amendments.

You should ensure that:

• no substances in the UK Red List or EU Black List are used;

• highly flammable liquids are kept in secure containers and correctly labelled;

• you do not use matches or lighters nor operate electrical switches or appliances where vapour may be present;

• you keep exposure to highly flammable liquids to a minimum - with only enough for the day taken into the work area;

• you do not use flame or spark producing apparatus on or near containers of flammable liquids;

• copies of any relevant COSHH assessments are handed to your departmental contact;

• asbestos warning notices have been fixed to all locations of known asbestos or asbestos-based materials; and

• you stop work and report immediately to your Departmental contact if you suspect that asbestos is present (either damaged or undamaged);

• oils, fuels and chemicals stored on site should be properly labelled, secured and bunded;

• you are aware of the Department's refuelling procedures; and

• you are aware of the Department's emergency procedures/spill procedures.
UTILITIES/THE ENVIRONMENT

Before starting work you should have familiarised yourself with the property, paying attention to the provisions for gas, electricity, water and drainage. These will be supplied free of charge as long as they are being used in connection with the project.

You should ensure that:

- care is taken to keep harmful dusts and vapours to a minimum;
- combustible items (for example shavings, packing materials) are be collected at least once a day and removed if they cannot be disposed of on site; all waste must be disposed of, preferably for recycling, in a safe and proper manner;
- there is adequate lighting to enable maintenance work to be carried out safely;
- noise is kept to a minimum;
- the premises is left clear and useable;
- every effort must be made to ensure that fuel, electricity and water are used economically;
- sewage and storm water drains are identified and marked;
- temporary electrical installations are in accordance with the Regulations for electrical installations prevailing at the time;
- cables are routed carefully and protected;
- electric kettles have safety cut-outs;
- gas rings/portable cooking apparatus are fixed at bench level;
- all compressed gas cylinders are kept away from sources of heat; and
- full and empty cylinders are kept in a secure, upright position under cover in the open air, or removed at the end of the day.
FIRE REGULATIONS

Buildings are especially vulnerable to the spread of fire when they are being built, repaired or maintained. This is because structural fire and door stops can be incomplete, combustible materials may be stored and there may be flammable/dangerous equipment being used.

IN ALL DEPARTMENTAL BUILDINGS THERE IS A NO SMOKING POLICY FOR CONTRACTORS. (Insert only where appropriate)

You should ensure that:

• you are familiar with evacuation procedures and have been given a copy of the local fire instructions for the building; an adequate and safe means of escape must be provided;

• all fire exit routes are kept clear at all times;

• you comply with the Departmental Standard Fire Precautions for Contractors;

• combustible storage is kept outside the main building;

• refuse is normally separated and any burning of refuse only carried out in the open air with the permission of the Departmental contact;

• building materials are kept in locked stores and marked “NO SMOKE”;

• welding, cutting, brazing, blowlamps, plumber’s furnaces and other flame producing equipment must only be operated by skilled operatives under a Hot Work Permit issued by the Project Manager;

• no apparatus is left unattended if alight;

• care is taken regarding the storage of flammable materials; and

• access to fire hydrants, hoses, extinguishers and alarm points is kept clear at all times.
MTCE 13.10  FIRE PRECAUTIONS TO BE TAKEN BY CONTRACTORS DURING WORKS

Additional fire risks to property and life arise during works to occupied premises and provisions are necessary to mitigate against these risks.

A checklist of fire precautions to be taken by contractors when carrying out works in Crown Property is included in the Standard Fire Precautions for Contractors Engaged on Crown Works (available from the Stationery Office).

PMs should ensure, by means of regular inspection, that contractors are adhering to the fire precautions specified. (See FSG for further information).

What should you do?

1. Ensure that regular checks are carried out to confirm compliance with fire precautions.

2. Take advice from your Premises Adviser or Departmental Fire Adviser as appropriate.
PRE-START MEETING

Depending on the size of the works to be undertaken, a pre-start meeting should always take place, attended by representatives of all interested/affected parties before any work commences in the premises. The nature of this meeting and who attends will depend very much on the nature, extent and method of procurement of the work, the type of premises management regime in place and the type of occupancy. In most situations, however, Contractors, Premises Advisers and PMs should always be present.

The purpose of the pre-start meeting will be to:

• emphasise or clarify any matters of importance;
• establish points of contact and channels of communication;
• agree working times and programme for the works;
• give the contractors all information relevant to the works under the various H&S legislation, eg CDM Regulations and environmental standards;
• receive from the contractors their method statements and risk assessments; and
• agree any Permit to Work procedures.

It is important that all agreements are recorded in writing, even in very simple works or maintenance projects.

Annex MTCE 1.3.9/1 includes a set of model instructions referring to H&S and environmental issues which may be issued to contractors at the pre-start meeting.
MTCE 13.12  SUPERVISION, PROGRESS MONITORING AND RECORD KEEPING

It is likely that, apart from works of a very minor nature, Premises Advisers, or independently appointed project managers, will have project management roles which include a supervision function. The role of PMs, therefore, will be one of liaison between Premises Advisers and the occupants. In smaller projects, and where qualified to do so, PMs may well have a management role. It is important that PMs are clear on the role they are to discharge so as not to undermine the role of their Premises Advisers and to avoid the likelihood of contractual problems. The purpose of the supervisory role is to ensure that work is done to the specified standards and programme, that the correct materials are used and that health and safety and the environment is not compromised. If the specification is not being followed, damage is being caused or is likely to result, the work is falling behind programme or health and safety or the environment is being prejudiced, and representation needs to be made in writing immediately to the Contractors, in the agreed format and through the agreed channels immediately.

Unless PMs are delegated to give instructions to contractors, they should never, apart from when safety to life or a pollution incident is involved, give direct instructions to contractors. They should be given via the agreed channels.

Good records are essential to draw conclusions about the performance and cost of the work and for auditing purposes.

Comprehensive records of the work carried out should be maintained, related to the agreed programme.

A thorough inspection of the work should be undertaken on completion, in conjunction with Premises Advisers, to ensure that the work has been completed satisfactorily, that the premises are in a clean, tidy and undamaged state and that all health and safety and environmental requirements have been met.
Premises Management Guide
Edition 2: September 1999

MTCE 1.3.13  PERMIT TO WORK SYSTEMS

Permit to Work systems are intended to ensure that work undertaken and the precautions to be taken form part of an overall safe system of work. These systems predetermine safer procedures and provide clear records that all reasonably foreseeable hazards have been identified and considered in advance and that all appropriate precautions are defined and taken in correct sequence.

Permits to work may be applied to any work activity, but are particularly appropriate to the following:

- hot work (flame cutting and welding in buildings);
- asbestos or materials contaminated by asbestos;
- excavation in the region of buried services;
- entry into confined spaces;
- pipework containing hazardous material;
- pressure systems;
- electrical installations;
- production machinery (where safeguards may be removed or immobilised in order to carry out maintenance); and
- conservation areas and proximity to water courses.

Special care should be taken to ensure that contractors who may be engaged for specific tasks are included in any Permit to Work system. Contractors’ employees may be unaware of the nature of any risks inherent in the premises. PMs, therefore, should ensure that contractors are made aware of all known hazards and that they should comply with all health and safety rules and environmental practices, including the Permit to Work system.

The first step in any Permit to Work system is to undertake risks assessments of the proposed work. They should be carried out by responsible persons, experienced in the work and should involve consideration of the work to be done, the methods to be adopted and the inherent hazards.
Permit to Work certificates should only be issued when contractors provide satisfactory method statements and risk assessments. Certificates should state:

- the nature of the work;
- the start time of the permit;
- the validity period of the permit;
- the persons to undertake the work;
- the safety measures to be taken;
- the environmental measures to be taken;
- the precautions to be taken (eg for hot work, fire fighting equipment to be provided, removal or protection of flammable materials);
- actions to be taken if there is a change of conditions that could necessitate the cancellation or suspension of the permit; and
- the time of expiry of the permit.

Premises Advisers may be made responsible for issuing Permits to work, but this is not advisable where they are also responsible for carrying out the work.

Adequate records of all permits issued should be maintained. Model Permits for permission to undertake works are included as Annexes to this section.

What should you do?

1. Establish criteria for holding pre-start meetings and act accordingly.
2. Establish clear areas of responsibility between yourself and your Premises Manager to avoid misunderstandings and possible contractual problems.
3. Ensure proper records are kept on the project.
4. Set up a Permit to Work system and make sure that it is enforced.
ANNEX MTCE 1.3.13/1 - PERMIT TO WORK SYSTEMS

PERMIT NUMBER..............................

HOT WORK PERMIT
(TO BE COMPLETED IN DUPLICATE)

VALID FOR DAY AND PERIOD OF ISSUE ONLY. A PERMIT IS TO BE ISSUED FOR EACH AND EVERY OCCASION WHEN HOT WORK IS TO BE UNDERTAKEN.

Permission is granted to:

Company: ................................................................................................................................................................................................................................................................................................................

to use: ............................................................................................................................. in the: ....................................................................................................................(exact location)

between .................................................. and ..................................................... hrs on: ..........(Date)

The main contractor is responsible for ensuring compliance by all sub contractors.

The above location has been inspected. A Competent Person will be standing by with an extinguisher/hose reel while the operation is in progress, the Person to be trained in the use of such equipment. The equipment to be checked and in good working order.

There are no combustible liquids, vapours, or gases within 15m. The operatives have had the nearest fire alarm/telephone pointed out to them and have been told what to do in the event of a fire.

All solid combustible material within 6 metres has either been removed or suitably protected against heat and sparks.

Smoking is not permitted in any building, storage shed or workshop (except in designated areas)

Additional Restrictions:

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Signature of Project Manager/Property Manager: ................................................. Date: .................................................................

Signature of person responsible for the work: ............................................................ (After signing the top copy of the permit is to be handed to the contractor and the duplicate retained by the issuing officer).

Work areas and all adjacent areas to which sparks and heat might have spread were thoroughly inspected on completion of the operation, and two hours after, no smouldering fires were discovered.

Signed: ................................................................................................................................................................................................................................................................................................................

Applicable to all operations involving flame, hot air or arc welding and cutting equipment, this includes disc cutting, brazing and soldering equipment, blowlamps, bitumen boilers and other equipment producing heat or having naked flames.
ANNEX MTCE 1.3.13/2 - PERMIT TO WORK SYSTEMS

PERMIT NUMBER............................

PERMIT TO WORK
(TO BE COMPLETED IN DUPLICATE)

VALID FOR DAY AND PERIOD OF ISSUE ONLY. A PERMIT IS TO BE ISSUED FOR EACH AND EVERY OCCASION WHEN WORK IS TO BE UNDERTAKEN.

Permission is granted to:

Company: ...........................................................................................................................................................

to carry out the following work: ...................................................................................................................................

..............................................................................................................................................................

in: ...............................................................................................................................................................

(exact location)

between .......................................... and ............................................. hrs on: .................................................................(Date)

The main contractor is responsible for ensuring compliance by all sub contractors.

Only approved materials and substances to be used.

There are no combustible liquids, vapours, or gases within 15m.

Any equipment to be used, whether or not power operated, should be checked and be in good working order.

The main contractor (and any sub contractors) is aware of the Department's health and safety requirements for contractors working on site.

All operatives have had the nearest fire alarm/telephone pointed out to them and have been told what to do in the event of a fire, spill or other incident.

Smoking is not permitted in any building, storage shed or workshop (except in designated areas).

All contractors are aware of the relevant environmental requirements.

Additional Restrictions:

Signature of Project Manager/Property Manager: .......................................................... Date: ..................................................

Signature of person responsible for the work: ............................................................................. ..........................................................

(After signing the top copy of the permit is to be handed to the contractor and the duplicate retained by the issuing officer).

Work areas and all adjacent areas to which sparks and heat might have spread were thoroughly inspected on completion of the operation, and two hours after, no smouldering fires were discovered.

Signed: ....................................................................................................................... .............. Date: ..............................................................................
**MTCE 2.0**  
**SATISFACTORY MAINTENANCE CONDITIONS**

**MTCE 2.1**  
**INTRODUCTION TO TABLE**

The table at Annex 1 lists the most commonly occurring elements affecting buildings, grounds and services, together with very simple statements of what may be considered acceptable minimum maintenance conditions. The table should be used with care and the following should be kept in mind:

- it is **not** intended to be a specification (such documents are raised by Premises Advisers and tailored to individual requirements);

- it may be used as guidance when carrying out inspections aimed at producing (or updating) forward maintenance requirement schedules (by Premises Advisers);

- it may be used as a guidance note to tenderers for Property Management or Building Management Commissions to indicate the minimum standards which must be achieved; and

- it is **not** intended to provide information to enable untrained PMs to procure or specify any works.

**What should you do?**

1. Use the table as an aid to inspections and as a guide to tenderers.

2. Consult your Premises Adviser where necessary.
## ANNEX MTCE 2.1/1 - TABLE OF SATISFACTORY MAINTENANCE CONDITIONS

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<thead>
<tr>
<th>Element/Component</th>
<th>Acceptable Maintenance Conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.0 EXTERNAL ELEMENTS</strong></td>
<td></td>
</tr>
<tr>
<td>1.1 ROOFS</td>
<td>Durably weatherproof at all times. There shall be no leaks. All coverings shall be sound and secure.</td>
</tr>
<tr>
<td>1.1.1 FINISHES-IN SU LATION VENTILATION</td>
<td>Insulation in good condition and, where this is within pitched roofs, to impede roof void ventilation; ventilators kept clear at all times.</td>
</tr>
<tr>
<td>1.1.2 STRUCTURE</td>
<td>Structurally sound and free from infestations.</td>
</tr>
<tr>
<td>1.1.3 ROOF</td>
<td>Weather proof; free from decay; glass clean and unbroken; opening lights in working order; locks and operating gear in serviceable condition. Fragile roofs should be marked appropriately.</td>
</tr>
<tr>
<td>1.1.4 CANOPIES</td>
<td>Structurally sound and weatherproof.</td>
</tr>
<tr>
<td>1.1.5 WALKWAYS</td>
<td>To comply with all Health and Safety requirements.</td>
</tr>
<tr>
<td>1.1.6 RAINWATER DISPOSAL</td>
<td>In sound condition; free from leaks; clear of debris.</td>
</tr>
<tr>
<td>1.1.7 CHIMNEYS</td>
<td>Structurally sound. Where in use, to be kept clear of obstructions including any build-up of soot. Where not, to be kept ventilated and protected against damp penetration.</td>
</tr>
<tr>
<td><strong>1.2 WALLS</strong></td>
<td>Structurally sound, weatherproof and free from damp; all rendering, cladding, copings and other finishes sound and secure.</td>
</tr>
<tr>
<td><strong>1.3 DOORS AND WINDOWS</strong></td>
<td>Weatherproof; free from decay; glass clean and unbroken; opening lights in working order; locks and other ironmongery to be fully operational.</td>
</tr>
<tr>
<td><strong>1.4 DECORATIONS</strong></td>
<td>To be in sound condition; to provide adequate protection to the fabric; to repel moisture.</td>
</tr>
<tr>
<td><strong>1.5 WINDOW CLEANING ACCESS</strong></td>
<td>In a safe state at all times.</td>
</tr>
<tr>
<td><strong>1.6 DRAINAGE</strong></td>
<td>Free flowing; covers, gratings, frames, beaching and channels sound; fresh air inlets sound and clear.</td>
</tr>
<tr>
<td><strong>1.7 ROADS - PATHS PAVINGS</strong></td>
<td>Sound and even with no potholes or sinkings; kerbs and edgings to be sound; no safety hazards; free from weeds and mud.</td>
</tr>
<tr>
<td><strong>1.8 BOUNDARY WALLS, FENCES, BARRIERS, GATES, GUARDRAILS, BOLLARDS ETC</strong></td>
<td>Sound and secure; no safety hazards.</td>
</tr>
<tr>
<td>Element/Component</td>
<td>Acceptable Maintenance Conditions</td>
</tr>
<tr>
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</tr>
<tr>
<td>1.9 GRASS AREAS</td>
<td><strong>Prestige</strong> - Healthy, noxious weeds dealt with by weed wipe; well drained; no worn areas; height not exceeding 5mm; edges trimmed frequently and arisings compressed on site or removed to compost.</td>
</tr>
<tr>
<td></td>
<td><strong>General</strong> - Healthy, noxious weeds dealt with by weed wipe; adequately drained; no heavily worn areas; height not to exceed 10mm; edges kept tidy and arisings composted on site.</td>
</tr>
<tr>
<td></td>
<td><strong>Meadow</strong> - Healthy and free of noxious weeds which should be dealt with by topping or weed wipe. A late cut of hay should be taken for sale; if ungrazed, a second cut may be required which should be left or composted.</td>
</tr>
<tr>
<td>1.10 SHRUB AREAS</td>
<td>Free of weeds and litter; plants healthy and vigorous; correctly pruned; not obstructing sight lines, paths and roads.</td>
</tr>
<tr>
<td>1.11 HEDGES</td>
<td><strong>Ornamental</strong> - Healthy, free from litter at base; generally neat and of good shape; trimmed before new growth exceeds 300mm; but not during nesting season of 22 March to 25 July.</td>
</tr>
<tr>
<td></td>
<td><strong>Field</strong> - Healthy, free from litter at base; trimmed once a year at base of growth outside nesting season of 22 March to 25 July.</td>
</tr>
<tr>
<td>1.12 TREES</td>
<td><strong>Recently Planted</strong> - Healthy, well shaped; correctly staked and tied; protected from rabbit and mower damage.</td>
</tr>
<tr>
<td></td>
<td><strong>Mature</strong> - Healthy well shaped; free of dead wood; correctly pruned and thinned; not over crowded and not too close to buildings or services that could be damaged. Note beneficial shading by trees to reduce solar gain in buildings.</td>
</tr>
<tr>
<td>1.13 DITCHES AND WATERCOURSSES</td>
<td>Free flowing; adequate capacity including outfalls and culverts; free from obstructions and silt; banks stable and easy to maintain; not to be cleared during nesting season of 22 March to 25 July.</td>
</tr>
<tr>
<td>1.14 LEAF CLEARANCE</td>
<td>Leaves swept up at leaf fall sufficiently frequently to ensure safety of occupiers and visitors and to preserve tidy appearance of site; leaves to be composted on site or removed to compost.</td>
</tr>
<tr>
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<td>Acceptable Maintenance Conditions</td>
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</tr>
<tr>
<td>2.0 INTERNAL ELEMENTS</td>
<td></td>
</tr>
<tr>
<td>2.1 STRUCTURAL WALLS</td>
<td>Structurally sound and free from damp; all finishes to be sound.</td>
</tr>
<tr>
<td>2.2 FLOORS</td>
<td>To be sound and even with no movement or rocking.</td>
</tr>
<tr>
<td>2.3 DOORS</td>
<td>Door closures, panic bars and other locking devices to be securely fixed; to be complete and in general working order.</td>
</tr>
<tr>
<td>2.4 STAIRCASES (INTERNAL AND EXTERNAL)</td>
<td>To be sound and secure; treads and nosings to be undamaged; and appropriate handrails to be provided.</td>
</tr>
<tr>
<td>2.5 SANITARY FITTINGS</td>
<td>To be free of leaks, surfaces to be hygienic; free from discharge; securely fixed; complete and correctly functioning; towel rails, toilet roll holders, soap trays, shelves, mirrors, splashback shower curtains to be sound and secure.</td>
</tr>
</tbody>
</table>
## Element/Component

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>3.0 SERVICES</strong></td>
<td></td>
</tr>
<tr>
<td>3.1 PLANT ROOMS, ETC</td>
<td>Plant rooms, electrical switch rooms, riser cupboards, lift motor rooms, boiler rooms, etc kept locked to avoid entry by unauthorised persons; all such rooms or enclosures identified by permanent notices, including the title of the room, warning of any hazards present and names and telephone numbers of those responsible for the room and its contents. All such rooms clean and tidy, free of surface water or oil spillage leakage, adequately lit and ventilated; all guard rails, steps, gratings, safety guards, etc correctly fitted. All areas safe for entry by those requiring access. Fire appliances as appropriate provided at appropriate positions within the rooms and fire alarm bells (or similar warning devices) and call points, if appropriate, fully operational. All hazards (eg low headroom) clearly signposted by the appropriate means; safety notices, posters, diagrams, drawings and the like permanently posted in all such areas as required by legislation, good practice or health and safety of operatives. All items of plant, switchgear, pipework, etc clearly identified by permanent methods. All safety devices fully operational. Emergency telephones (in boilerhouses etc) operational. Low voltage socket outlets (in boilerhouses etc) operational. All heating and hot water pipes to be fully lagged.</td>
</tr>
<tr>
<td><strong>3.2 PUBLIC HEALTH SERVICES</strong></td>
<td></td>
</tr>
<tr>
<td>3.2.1 COLD WATER SUPPLY, STORAGE AND DISTRIBUTION</td>
<td>All pipework, tanks, valves, taps, etc securely fixed, clean, provided with lids where appropriate and correctly identified by appropriate methods; lagging to be sound. All equipment fully functioning; no evidence of leaks. All indicator pipes clear and unobstructed and no overflowing taking place; precautions taken against Legionella where risk assessment indicates need; all water economy devices fully operational.</td>
</tr>
<tr>
<td><strong>3.2.2 DRAINAGE AND WASTE SYSTEMS</strong></td>
<td>All gutters, drain pipes, soil stacks, vent pipes, gulleys, traps, etc sound and leak-free, securely fixed, uncorroded and adequately protected and finished. All inspection covers, manholes, access plates, etc securely fixed and all gratings in place and unobstructed. All drains free flowing and unobstructed. All traps full; no evidence of foul smells; all associated pumps, ejectors, etc fully functional. All ladders, steps, rungs, etc which have been provided for maintenance access to be in sound and safe condition.</td>
</tr>
<tr>
<td>Element/Component</td>
<td>Acceptable Maintenance Conditions</td>
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</tr>
<tr>
<td>3.3 FIRE SERVICES</td>
<td>In addition to the regular tests and inspections required for electrical systems generally, evidence must be available that all functional tests which are the Department's responsibility have been carried out, on time and all defects remedied.</td>
</tr>
<tr>
<td>3.3.1 DETECTION AND ALARM SYSTEMS</td>
<td>All reported failures or malfunctions attended to promptly. All cables identifiable from other systems and not concealed by paint, other cables, etc.</td>
</tr>
<tr>
<td>3.3.2 FIRE FIGHTING EQUIPMENT</td>
<td>(W here the responsibility of Department)</td>
</tr>
<tr>
<td></td>
<td>Fully charged, operational, correctly located and fully identified by type and/or limitation of use.</td>
</tr>
<tr>
<td>3.3.3 FIRE SPRINKLERS, HOSEEL SYSTEMS,</td>
<td>Fully operational and evidence of last test readily available.</td>
</tr>
<tr>
<td>ETC</td>
<td>3.3.4 EMERGENCY LIGHTING</td>
</tr>
<tr>
<td></td>
<td>All indicator lamps and main control panels indicate normal operation. No failed lamps or indicators.</td>
</tr>
<tr>
<td></td>
<td>Installation checked and each self-contained luminaire, internally-illuminated exit sign, central battery installation and emergency lighting standby generator tested.</td>
</tr>
<tr>
<td>3.4 LIFTS, HOISTS, LIFTING EQUIPMENT, ETC</td>
<td>All items subject to statutory inspection covered by current certificate, readily available to the Department as and when requested and copies of all certificates held.</td>
</tr>
<tr>
<td></td>
<td>All defects identified by Competent Person's inspection dealt with or programmed for action as appropriate.</td>
</tr>
<tr>
<td></td>
<td>All lifts, hoists, conveyors, beams, window cleaning access equipment, ropes, slings, etc, correctly and clearly identified by permanent marking.</td>
</tr>
<tr>
<td></td>
<td>All SWL markings clearly and permanently marked.</td>
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<tr>
<td></td>
<td>All safety devices fully operational.</td>
</tr>
<tr>
<td></td>
<td>All controls operating and adjusted correctly.</td>
</tr>
<tr>
<td></td>
<td>All floor indicators, etc fully operational.</td>
</tr>
<tr>
<td></td>
<td>All emergency telephones, alarms, etc fully operational and clearly indicated.</td>
</tr>
<tr>
<td>3.5 FUEL STORAGE AND DISTRIBUTION</td>
<td>Mains gas pipework securely fixed, correctly identified by colour coding, completely leak-free and covered by extant certificate of test; meter room clearly identified, unshared by other services, correctly ventilated and complying with appropriate regulations in all respects.</td>
</tr>
<tr>
<td>3.5.1 GAS SERVICES</td>
<td>Main gas service valves clearly identified and positions indicated by diagrams at each point of use.</td>
</tr>
</tbody>
</table>

**Introduction - Annex**

**Satisfactory Maintenance Conditions**

**Maintenance, Alterations and Minor New Works**
<table>
<thead>
<tr>
<th>Element/Component</th>
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<tbody>
<tr>
<td>3.5.1 GAS SERVICES</td>
<td>LPG storage facilities correctly identified and enclosed; all safety devices and alarms fully operational; all appropriate notices posted.</td>
</tr>
<tr>
<td>(continued)</td>
<td>Line diagrams displayed at meter position (or LPG supply point) for all gas installations.</td>
</tr>
<tr>
<td></td>
<td>Poster displayed giving instructions for Gas Escape Reporting Procedures.</td>
</tr>
<tr>
<td>3.5.2 FUEL OIL SERVICES</td>
<td>All tanks, valves, meters, vents, pipework, access covers, level or contents indicators, trace heaters, tank heaters, alarms, pumps and controls fully operational and in sound, clean and safe condition; no evidence of leaks; all items correctly colour coded and/or identified.</td>
</tr>
<tr>
<td></td>
<td>All bunds empty and sound with no leaks and sump pump fully operational.</td>
</tr>
<tr>
<td></td>
<td>Safety posters and instructions displayed as appropriate.</td>
</tr>
<tr>
<td>3.6 BOILER PLANT</td>
<td>All boilers and associated pumps, valves, pressurising systems, flues, chimneys etc related to the boiler plant fully operational, covered by current test certificates where appropriate.</td>
</tr>
<tr>
<td></td>
<td>All associated controls, safety devices, alarms, interlocks and similar equipment fully functional and no malfunctions awaiting remedial work.</td>
</tr>
<tr>
<td>3.6.1 PLANT ROOM</td>
<td>All notices, posters, charts, diagrams, etc, correctly placed and all other requirements of Section 3.1 (Plant Rooms) satisfied.</td>
</tr>
<tr>
<td></td>
<td>No evidence of leaks (oil, steam, water, air, etc) from any equipment.</td>
</tr>
<tr>
<td></td>
<td>All insulation and covers sound and in place and properly secured; asbestos insulation identified and correctly marked and in a safe condition; details included in Asbestos Register.</td>
</tr>
<tr>
<td></td>
<td>All electrical equipment and wiring in accordance with paragraphs 3.14 to 3.17.</td>
</tr>
<tr>
<td></td>
<td>Operating records maintained as appropriate to the installation (eg fuel efficiency, combustion efficiency, water make up, water treatment, steam boiler blow-down records, pressurising water nitrogen make up etc) and available for inspection by the Department and/or HSE as and when requested.</td>
</tr>
<tr>
<td>3.7 WATER TREATMENT</td>
<td>Fully functional and with no evidence of leaks; operational records maintained up to date and dosage rates adjusted appropriately to meet required concentrations.</td>
</tr>
<tr>
<td>PLANT</td>
<td></td>
</tr>
</tbody>
</table>
### 3.8 HEATING SYSTEMS

Condition generally as for Boiler Plant (paragraph 3.6).

- All pipework to be insulated and marked appropriately, with direction of flows indicated and equipment securely fixed and no evidence of leaks present.
- All valves, pumps, steam traps, vents, heat emitters, and other ancillary items fully operational and correctly adjusted to maintain temperatures, pressures and flow rates appropriate to the heating load in all areas, whilst minimising energy usage.
- All controls functioning and correctly adjusted.
- All insulation and covers sound and in place and properly secured; asbestos insulation identified and in safe condition; details entered in Asbestos Register.
- All electrical equipment and wiring in accordance with paragraphs 3.14 to 3.17.
- Operating records maintained as appropriate to the system and available for inspection by the Department as and when requested.

### 3.9 HOT WATER SYSTEMS

Condition generally as for Heating Systems (paragraph 3.8). All pipework, calorifiers, storage vessels, heaters, pumps, valves, taps and other equipment securely fixed with no evidence of leaks; all controls functioning correctly and no evidence of leaks; all controls functioning and correctly adjusted to provide appropriate temperatures, pressures and flow rates at all points, whilst minimising energy usage.

- All insulation and covers sound and in place and properly secured; any asbestos insulation identified, correctly marked and in a safe condition; details included in Asbestos Register.
- All electrical equipment and wiring in accordance with paragraphs 3.14 to 3.17.
- Operating records maintained as appropriate to the system and available for inspection by the Department and/or HSE as and when requested.

### 3.10 VENTILATION AND AIR CONDITIONING

- All fans, ductwork, valves, pumps, heaters, cooling towers, chillers, water treatment and all other equipment securely fixed and, if appropriate, insulated and marked with direction of flows, with no evidence of air, water, steam or refrigerant leakage.
- All plant rooms fully in accordance with paragraph 3.6.
- All insulation and covers sound, in place and properly secured; asbestos insulation identified, correctly marked and in safe condition; details included in Asbestos Register.
- All electrical wiring and equipment in accordance with paragraphs 3.14 to 3.17.
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<tbody>
<tr>
<td><strong>3.11 LIGHTING</strong></td>
<td>All lighting to be included in planned maintenance regime, where appropriate.</td>
</tr>
<tr>
<td><strong>3.12 REFRIGERATION</strong></td>
<td>All plant and associated equipment fully operational with no leaks or malfunctions.</td>
</tr>
<tr>
<td></td>
<td>All plant rooms fully in accordance with paragraph 3.6.1 (Plant Rooms).</td>
</tr>
<tr>
<td></td>
<td>All controls functioning and correctly adjusted to provide correct temperatures, pressures and flow rates and to provide maximum efficiency.</td>
</tr>
<tr>
<td></td>
<td>All insulation and covers sound, in place and properly secured; asbestos insulation identified, correctly marked and in a safe condition; details included in Asbestos Register.</td>
</tr>
<tr>
<td></td>
<td>All electrical wiring and equipment in accordance with paragraphs 3.14 to 3.17.</td>
</tr>
<tr>
<td><strong>3.13 AUTOMATIC CONTROL SYSTEMS</strong></td>
<td>[N.B. This applies to all automatic control systems, including BEMS, Power Factor Correction systems, Maximum Demand monitoring control systems, etc.] Systems fully operational in accordance with designed functions.</td>
</tr>
<tr>
<td></td>
<td>No evidence of alarms present or action being taken to deal with them if present.</td>
</tr>
<tr>
<td></td>
<td>Operating records available for inspection by the Department and/or HSE as and when requested.</td>
</tr>
<tr>
<td><strong>3.14 GENERATORS/POWER SUPPLIERS</strong></td>
<td>[N.B. This applies to standby or emergency generators, no-break systems (UPS), CHP or any other electrical supply other than extra low voltage batteries] All equipment fully operational as required for its purpose.</td>
</tr>
<tr>
<td></td>
<td>All machinery properly enclosed to prevent danger to unauthorised persons; all guards and covers in place.</td>
</tr>
<tr>
<td></td>
<td>Appropriate warning notices and safety posters permanently displayed where required.</td>
</tr>
<tr>
<td></td>
<td>Appropriate diagrams and drawings posted to provide full details of system.</td>
</tr>
<tr>
<td></td>
<td>All equipment, controls and switchgear permanently identified.</td>
</tr>
<tr>
<td></td>
<td>All locks or interlocks placed as required.</td>
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<tr>
<td></td>
<td>Diesel engines regularly run on load (preferably the load for which they are provided).</td>
</tr>
<tr>
<td></td>
<td>All guards and covers in place.</td>
</tr>
<tr>
<td></td>
<td>Plant rooms in accordance with paragraph 3.6.1 (Plant Rooms).</td>
</tr>
<tr>
<td></td>
<td>Authorised Persons nominated and in control where appropriate.</td>
</tr>
</tbody>
</table>
### Satisfactory Maintenance Conditions

#### Maintenance, Alterations and Minor New Works

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<tr>
<td>3.15 HV/LV ELECTRICAL DISTRIBUTION SWITCHGEAR, TRANSFORMERS</td>
<td>All cables, transformers, earthing systems, switchgear and other items of equipment in sound condition and fully operational with no damage, corrosion, oil leaks, or other defects. Clear access for emergency services maintained at all times where appropriate. Full maintenance operation and test records in place. All enclosures kept clean, tidy and dust-free and outdoor enclosures free of weeds or other vegetation. All systems under control of nominated Authorised Persons, whoever appropriate. All switchgear, transformers, fusegear, enclosures, etc permanently identified and in accordance with diagrams drawings, S&amp;T schedules, mimic displays or similar. All cables, switchgear, fusegear, enclosures, ducts, conduits and other ancillary items in sound condition and fully operational.</td>
</tr>
<tr>
<td>3.16 LOW VOLTAGE AND EXTRA VOLTAGE ELECTRICAL INSTALLATIONS</td>
<td>No corrosion of metal parts. No missing covers, lids, inspection covers, fixings etc and all cables or other items securely fixed. No switchgear, fusegear, enclosures or other items requiring permanent identification left unidentified. No temporary wiring or equipment in place. All fittings properly fixed and in good condition. All switchrooms, intake rooms, riser cupboards etc in accordance with paragraph 3.6.1 (Plant Rooms). Full inspection and test records maintained and available for inspection by the Department and/or HSE as and when requested. Circuit diagrams posted at intake and other appropriate positions and kept up to date. Identification of all equipment in accordance with circuit diagrams.</td>
</tr>
<tr>
<td>3.17 LIGHTNING PROTECTION</td>
<td>All finials, roof tapes, down conductors, test connections, earthing pits or other items in sound condition and appropriately and securely fixed.</td>
</tr>
</tbody>
</table>
INTRODUCTION

MTCE 3.0 LEGISLATION RELATED TO MAINTENANCE, REFURBISHMENT AND NEW WORKS

MTCE 3.1 INTRODUCTION

PMs have to deal frequently with works which involve minor refurbishments, new works or alterations to partitions, electrical circuits, heating, ventilation, etc. These works are covered by legislation relating to the Building Regulations, Town and Country Planning, The Construction (Design and Management) Regulations, Fire Safety, Environmental Protection and Water Acts and associated Bylaws, etc and PMs need to be aware of the requirements of this legislation in order to discharge their duties effectively.

It is not the intention that PMs should become amateur engineers or surveyors or stray into areas beyond their experience or expertise as there will be others within their Departments or under contract who will provide this assistance or professional advice.
MTCE 3.2 **BUILDING REGULATIONS**

**MTCE 3.2.1 Introduction**

The Building Regulations, or their equivalent in Scotland and Northern Ireland, lay down broad requirements on structural stability, fire resistance, internal sound insulation, design of stairs, drainage, etc. Their primary purpose is to ensure the health and safety of the occupants of premises or those who may be affected by them. The Regulations apply to new buildings, extensions, conversions, material alterations and material changes of use. Requirements relating to environmental issues, energy efficiency and access and facilities for disabled people are also included in the Regulations. However, the Building Regulations specify the minimum environmental and energy efficiency requirements only. Best practice should be applied as identified by BREEAM or the BSRIA Environmental Code of Practice for Buildings and their Services to ensure progress towards energy saving targets.

For England and Wales, the relevant legislation is the Building Regulations 1991; for Scotland, it is the Building Standards (Scotland) Regulations 1990; and for Northern Ireland, the Building Regulations (Northern Ireland) 1994. The Regulations for England and Wales only are made under powers contained in the Building Act 1984.

In order to assist designers in meeting the substantive requirements of the Building Regulations 1991, a series of "Approved Documents" is published by the Department of the Environment, Transport and the Regions (DETR) for use in England and Wales. These documents give guidance on compliance with the Regulations and, if followed, should demonstrate that the Regulations have been complied with. They are not mandatory, however, and designers may choose to use other solutions so long as they meet the appropriate legal requirements.

The Building Standards (Scotland) Regulations 1990 (as amended) are supported by the Technical Standards and it should be noted that the main body of the Regulations can only be satisfied by complying with these Standards. The Regulations are made under powers contained in the Building (Scotland) Act 1959, as amended.

For Northern Ireland, the Building Regulations (Northern Ireland) 1994, which were made under the Building Regulations (Northern Ireland) Order 1979, include provisions relating to prescribed ‘deemed to satisfy’ documents which prove compliance with the Regulations, if followed. The range of documents includes Technical Booklets, British Standards and other Government Codes of Practice.
MTCE 3.2.2 Crown Exemption

The various Building Regulations currently in force are made under powers contained in the Building Act 1984, the Building (Scotland) Act 1959 or the Building Regulations (Northern Ireland) Order 1979. Although the procedural provisions of these Acts and, therefore, by implication, of the Building Regulations do not apply to the Crown at present, it has long been Crown policy to comply with their substantive requirements.
Complying with the Building Regulations

In the private sector, confirmation of Building Regulation compliance is achieved through having plans inspected and approved by the Local Authority or an Approved Inspector. In Scotland and Northern Ireland the legislation does not include provision or Approved Inspectors. The purpose of these checks is to ensure that the substantive requirements of the Regulations are being met. Work in progress on site is also inspected as part of this checking.

With the exception of departments in Northern Ireland, Government departments cannot contract with the Local Authority for Building Regulation checking. Broadly speaking, Local Authorities are prevented from such ‘commercial’ activity, except in very limited circumstances authorised by the Local Authorities (Goods and Services) Act 1970.

On the Civil Estate, departments have the following options in seeking confirmation of compliance with the Building Regulations:

- developing an ‘in-house’ capacity;
- using the design team;
- using the Project Manager;
- using an Independent Building Control Compliance Checking Consultant; or
- a combination of the above.

Departments are however advised not to rely on the primary design team of the Project Manager for this work as to do so may involve a less vigorous approach than that applicable to the private sector, or conflicts of interest may arise.

In leased property, the landlord’s consent will be required for any works and, as a condition of consent, landlords may stipulate that local authority approval should be obtained in these cases. The effects of Crown immunity should be brought to the attention of the landlord together with the alternative arrangements being made to check compliance. However, in the unlikely event that the landlord still insists on local authority approval, and only as a last resort, the landlord should be asked to apply and pay for approval of the works under the Building Regulations from the local authority and the cost can be subsequently refunded.
Further information and guidance on the Building Regulations and building control compliance can be obtained from:

Department of the Environment, Transport and the Regions
Building Regulations Division
Zone 3A/1
Eland House
London SW 1E 5DU
Telephone 0171 890 5735.

Scottish Office Development Department
Construction and Building Control Group
Area 2-H
Victoria Quay
Edinburgh EH6 6Q Q
Telephone: 0131 244 7439.

Department of the Environment for Northern Ireland
Buildings Regulations Branch
Cawood House
24/26 Arthur Street
Belfast BT1 4GP
Telephone: 01232 246898.
MTCE 3.2.4 Services to Be Provided by Building Control Consultants

The Building (Approved Inspector etc) Regulations 1985 require Approved Inspectors to take such steps as are reasonable to enable them to be satisfied within the limits of professional skill and care that the Building Regulations are complied with. It is recommended that departments, where they appoint consultants for Building Control Compliance Checking, translate the functional duties of the Approved Inspector into the following levels of checking:

- the checking of relevant plans and calculations unless they represent a simple replication of a standard design which has already demonstrated that its competent implementation will comply with the requirements of the Regulations;

- one or more site inspections at each critical stage of work to verify that the works are in accordance with the requirements of the Regulations. Although the Consultants must be required to make site inspections, the exact number and frequency of visits should be left to their professional judgement within the context of their overriding obligation to certify compliance. Leaving such scope for professional judgement would, hopefully, overcome attempts by the Consultant to limit their liability.

Consultants engaged for compliance checking must recognise the obligation of exercising reasonable skill and care in the provision of advice and in performing the services specified in the contract. They must also recognise that the employing departments will rely on this advice in satisfying themselves that they have complied with the requirements of the Regulations, limited by virtue of Section 8 to the securing of reasonable standards of health and safety.

It should be understood that any consultants employed under contract to carry out compliance checking do not have to be Approved Inspectors as they would not be performing the statutory functions of an Approved Inspector under the Regulations. Instead, they will be experts engaged under a contract subject to normal private law, advising the department on whether or not, in their professional opinion, the relevant plans and the work to be carried out comply with the substantive requirements of the Building Regulations. However, the criteria which the Consultants must address within the services defined in their contract and the levels of competence and expertise available within their own organisations must be compatible with those required under the statutory procedures. The Building (Approved Inspector etc) Regulations 1985, in particular, provide a useful model for defining the responsibilities of a building control consultant.
MTCE 3.2.5  Selection of Building Control Consultants

A computerised database, known as “Constructionline”, can provide information on consultants who have declared their ability to comply with these guidelines. However, Departments using the Register should satisfy themselves as to the firms’ professional capabilities in the light of their own particular requirements. Comprehensive information on Constructionline, including contact points and areas of operation can be found at CONT 5.0.

“Constructionline” will be able to confirm details of the checks carried out on individual firms but Departments are, nonetheless, recommended to satisfy themselves as to the suitability and competence of the firms which they are proposing to invite to tender. In particular, they could clarify with the firm which individual(s) will carry out the building control function and, if necessary, interview the firm themselves to supplement the checks which have been carried out by the operators of the system. “Constructionline” would appreciate feedback on the results of these checks and of departments’ experiences in using these consultants.
Mtce 3.2.6  **Insurance**

In recognition of this different level of liability, compared to an Approved Inspector or local authority inspector, and of the much narrower range of clients, the requirements for insurance in any contract for Building Control Compliance Checking services should conform to those normally expected of a professional consultant employed on Government building and civil engineering work. Departments, therefore, should require professional indemnity insurance to meet the liabilities which could arise from advising clients under the Contract. This insurance should be maintained during the life of the Contract and for a period of at least 6 years beyond that date.
MTCE 3.2.7 Certifying Compliance

Departments are recommended to seek two levels of certification:

• certification by the Building Control Consultants that they have “taken such steps as are reasonable to enable them to be satisfied within the limits of professional skill and care that the substantive requirements of the Building Regulations have been met”; and

• certification by the Consultant and/or Contractor who has carried out the building work that “to the best of their knowledge and belief the substantive requirements of the Building Regulations have been met in both the design and construction of the building.”
MTCE 3.2.8  Contractual Arrangements

PACE Central Advice Unit is able to offer assistance to Departments in setting up their own building control contracts and can be contacted via the CAU Helpline on 0171 271 2833.

CAU has established, through a rigorous competitive tender process, a commission for Building Regulation Compliance Checking. This commission has been designed to allow access to it by any Government Department, Agency or NDPB.

Departments interested in using this commission should contact John Ioannou of CAU on 0171 271 2707, fax: 0171 271 2715 or e-mail: jisc@property.gov.uk.
**MTCE 3.2.9 Disputes Between the Building Control Consultant and the Designer**

If the Building Control Consultant’s checks highlight instances where the designer’s plans do not conform with the Regulations, it is recommended that they should report accordingly to a nominated officer within the Department concerned. The Report should identify the deficiency and, where appropriate, refer to acceptable alternatives which would enable the design to comply with the legislation or, alternatively, seek a waiver of the Building Regulations. It then becomes that Department’s responsibility to give notice to the primary designer that the Regulations have not been complied with and that remedial action is necessary.

Should the designer dispute the Building Control Consultant’s judgement or a request for a waiver of the Building Regulations in a particular set of circumstances, the Department concerned will need to assess the primary designer’s arguments against the findings of the Report. It may need to call on additional professional advice (works or legal) if considered necessary or seek guidance from a second, independent building control consultant.

In the event that a disagreement cannot be resolved by these procedures, informal advice on the interpretation of the Regulations may be obtained from the contacts listed above.
In the private sector, the local authority has the discretion, upon appeal by a designer or client, to dispense with, or relax, any of the requirements of the Building Regulations where they could be said to be unreasonably restrictive.

Within Departments, when acting as “The Authority”, they may authorise waivers on their own behalf, where justifiable, after due deliberation and consultation with the DETR Building Regulation Division or HM Fire Services Inspectorate, as appropriate, before making the final decision. It should be noted that, in such cases, Section 15 of the Building Act 1984 requires consultation by the Department concerned with the relevant Enforcing Authority.

In Scotland, a waiver granting a relaxation of, or dispensing with, a regulation can only be granted by the Secretary of State for Scotland and Departments should contact the Scottish Office Development Department Construction and Building Control Group Division B.
FIRE SAFETY CONSIDERATIONS

PMs should always keep in mind that almost any modification to layout, doors, security locks, glazing of partitions, changed use of rooms, etc, may compromise the existing fire safety of the occupants and should always consider obtaining fire safety advice from, their Premises Advisers, especially if the change(s) affects the currency of the fire certificate.

More detailed information on the subject of fire safety can be found in the PACE Fire Safety Guide. A brief résumé of the legislative requirements and the procedures to be followed in ensuring compliance with fire legislation and fire certification is given below.

Where a building is put to a designated use under the Fire Precautions Act 1971 for England, Wales and Scotland and the Fire Service (Northern Ireland) Order 1984 for Northern Ireland, early consultation with the Enforcing Authority is desirable to ensure that fire safety measures have been agreed correctly with that Authority before any construction or alteration commences in a building. Provided this consultation has been carried out and agreement reached, enforcing Authorities will not normally ask for further measures for life safety which would usually be controlled by the Building Regulations/Standards.

The Enforcing Authorities are, for England and Wales, HM Fire Services Inspectorate, Crown Premises Inspection Group at the Home Office; for Scotland, HM Fire Services Inspectorate at the Scottish Office; for Northern Ireland, the Department of Economic Development; or, for premises which are subject to the Fire Certificates (Special Premises) Regulations 1976, the Health and Safety Executive.

The Enforcing Authority's main role, so far as the Building Regulations are concerned, is to endorse agreement to the final sketch plan or drawings. Such endorsement will normally exempt building occupiers from having to meet any later Building Regulations fire requirements by means of what is known as the “Statutory Bar” under the Fire Precautions Act. This Bar acts as a cut-off point after which provisions additional to those required by the Regulations in force when the building was erected cannot be applied retrospectively. Should variations or waivers occur during the course of the work, the Enforcing Authority should be consulted again; the Statutory Bar applying to the previously approved plans or drawings will apply to the variations or waivers only if this is done.
Although, for the purposes of the Building Regulations, Departments need not normally consult the Enforcing Authority until completion of final sketch plans or drawings, the Authority should be consulted earlier during the design stage in order to ensure that a Fire Certificate is likely to be issued. However, buildings which include special or unusual features, such as atria, and pose particular fire safety risks under the Regulations, would be best notified to the Authority at an earlier stage in the design process. Departmental Fire Advisers should first be consulted for advice on whether any features of a building will fall into this category.

Building Control Consultants, as part of the contracted services, will check the fire aspect of the Building Regulations before submitting their reports. However, they are not required, however, to forward plans and drawings to the Enforcing Authority themselves. This is because:

• the passing of plans to the Enforcing Authority should be undertaken by the Departments since they are accountable, not the Consultants, and this function should not be delegated outside Departments; and

• the Fire Precautions Act covers a range of pre-occupation fire safety requirements additional to those of the Building Regulations which are subject to independent liaison with the Enforcing Authority.

Departments are advised, therefore, to obtain all relevant endorsements of plans or drawings from the Enforcing Authority direct, taking advice from qualified fire advisers as necessary. This does not prevent Departments’ agents liaising, with permission, with the relevant Authority over aspects of the design and Departments should ensure that consultants have a clause providing for this written into their contracts.

Departments also need to be aware of the clear distinction between obtaining Enforcing Authority endorsement of plans for the purposes of the compliance with fire aspects of the Building Regulations and obtaining a Fire Certificate for occupation on completion of works. The Fire Certificate is a requirement under the Fire Precautions Act, not the Building Regulations and, as such, is a statutory requirement on Departments.
The main stages at which departments will need to consult with the Enforcing Authority are:

<table>
<thead>
<tr>
<th>Early Design Stage</th>
<th>Final Sketch Plans</th>
<th>Progress of Works</th>
<th>Occupation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departments may decide to approach the appropriate Enforcing Authority about particular fire safety hazards in high risk cases on the advice of the Departmental Fire Adviser.</td>
<td>Departments submit Final Sketch Plans or Drawings for endorsements about any variations or waivers to the fire aspects of the Building Regulations.</td>
<td>Liaison with the appropriate Enforcing Authority about any variations or waivers to the works.</td>
<td>Application to the appropriate Enforcing Authority for a Fire Certificate for the premises.</td>
</tr>
</tbody>
</table>

What should you do?

1. Obtain advice from your Premises Adviser and/or Departmental Safety.
2. Officer before any modifications that could affect fire safety are undertaken.
MTCE 3.4

TOWN AND COUNTRY PLANNING ACTS

This section deals briefly with cases where PMs may be involved in minor new works, refurbishments or alterations which may require consultation with the Local Planning Authority, with respect to Town Planning considerations.

PMs should always keep in mind that even small proposed developments and alterations may require planning clearance.

The Town and Country Planning Act 1990, and the Town and Country Planning (Scotland) Act 1972, with minor exceptions, does not affect the Crown. The Crown for these purposes includes Her Majesty in right of the Crown and Crown land includes land of any Department. The Crown does not, therefore, need planning permission for development. The minor exceptions include the indication of proposals for the use of Crown land on a development plan and the listing of a building on Crown land. Tenants and lessees of Crown land will require planning permission for development; they may be served with an Enforcement Notice; and may themselves serve a Purchase Notice.

DOE Circular 18/84 (Welsh Office 37/84) and Scottish Office Circular 21/84 provide advice on the management and disposal of Crown land. Where the Crown wishes to dispose of surplus land with the benefit of planning permission, it is required to obtain planning consent through the normal process under the 1990 Act. Where development is proposed by Departments, the procedure is to consult the local planning authority on the proposals. Development by the Crown does not need planning permission, however it must follow the Circular 18/84 or Scottish Office Circular 21/84 procedure which is analogous to the procedure to obtain planning consent under the 1990 Act.

None of the consultations can apply fully to proposals involving national security.

Where a planning application is required under DOE Circular 18/84 (Welsh Office 37/84 or Scottish Office Circular 21/84) it is important that the consultation is submitted in accordance with the Circular and that the necessary information is supplied to the local planning authority. A planning application is required under Section 299 (1) of the 1990 Act where the Crown is seeking planning permission in anticipation of disposal of Crown land. The ‘appropriate authority’ or any person authorised may apply for planning permission, listed building consent, conservation area consent or a determination under Section 64 of the 1990 Act. Relevant parties must be
notified of the application and appropriate certificates served together with plans. It is important to specify clearly the particulars of the proposed development for which consent is sought. This is because planning permission may be granted in accordance with the plan and the application submitted. 

The description, particularly of the proposed use, that is contained in the application form, may therefore be the only form of words available for an Inspector or Court to consider if an Enforcement Notice is served alleging development without planning permission.

The local planning authority should make a determination within 8 weeks of the submission of the application.

An applicant for planning permission is required to sign a certificate declaring that they are the sole owner of the land, subject to the planning application or if other parties have a legal interest, either leasehold, or freehold, that they have been notified.

In certain instances it may be necessary to place adverts in the local newspaper or erect a notice on the site subject to the planning application.

**Failure to submit the correct forms and notices will render the application invalid.**

Further guidance on the subject of the Town and Country Planning Acts is given in the Estate Services Guide.

**What should you do?**

1. Consult your Premises Adviser for advice on the form and content of a planning application.

2. Discuss your proposals at an early stage with the local planning authority prior to the formal consultation procedure under Circular 18/84, etc.

3. Apply the method of consultation detailed in Circular 18/84, etc for providing the local planning authority with the necessary information.
The Construction (Design and Management) Regulations 1994 (CDM), supported by an Approved Code of Practice, were introduced on 31 March 1995. The Regulations cover, specifically, the management of health and safety on temporary or mobile construction sites and apply to all qualifying projects.

The CDM Regulations place specific duties upon clients, designers, planning supervisors and contractors and are designed to bring about the careful consideration and management of the H&S risks throughout the construction process from inception through to completion. In the context of works within the remit of PMs, they may well have allocated to them the duty of the Client under the CDM Regulations and should be clear on what these duties comprise. The specific duties of the key parties involved (companies or individuals) are as follows:

- **The Client** should be satisfied that only competent people are appointed as Planning Supervisors and Principal Contractors and as designers and contractors. They should also ensure, as much as they can, that sufficient resources, including time, have been, or will, be allocated to enable the project to be carried out safely.

- **The Designer** should ensure, so far as reasonably practical, that structures are designed to avoid or, where this is not possible, to minimise risks to H&S during construction and maintenance. Where risks cannot be avoided, adequate information has to be provided. Design includes the preparation of specifications - it is not limited to drawings.

- **The Planning Supervisor** is responsible for co-ordinating the H&S aspects of the design and planning phase and for the early stages of the Health and Safety Plan and the Health and Safety File.

- **The Principal Contractor** should take account of H&S when preparing and presenting tenders or similar documents. The Principal Contractor also has to develop the Health and Safety Plan and co-ordinate the activities of all contractors to ensure they comply with H&S legislation. Principal contractors have duties to check on the provision of information and training for employees and for consulting with employees and the self-employed on H&S matters.

- **Contractors and the Self-Employed** should co-operate with the Principal Contractor and provide relevant information on the H&S risks created by their work and how they will be controlled. Contractors also have duties for the provision of other information to Principal Contractors and to employees. The self-employed also have similar duties.
MTCE 3.5.1  When Does CDM Apply?

The CDM Regulations apply generally to the carrying out of any building, civil engineering or engineering construction work which includes redecoration, maintenance and demolition works which are notifiable to HSE (i.e. lasting for more than 30 days or involving more than 500 person days of work).

CDM also applies to non-notifiable work which involves five people or more on site at any one time. However, CDM will apply to any design work or demolition, no matter how long the work lasts and how many workers are involved on site.

The CDM Regulations do not apply to projects being carried out on domestic residences, except for the requirements on designers and for any notification to HSE which may be necessary.

In brief, the Regulations apply to the majority of construction projects and Departments have the principal obligations listed below. In certain situations, PMs may be delegated the duties of Client where they have the necessary expertise and resources.

The principal obligations are:

• to make a declaration to the HSE that Departments or their agents, will act as “Client” for the purposes of the Regulations in respect of a particular project;

• to appoint Planning Supervisors, who will be responsible for:
  - notifying the project to the HSE;
  - developing a Health and Safety Plan for the design and planning phase prior to the commencement of work on site by the contractors;
  - advising Departments on the satisfactory allocation of resources for H&S; and
  - preparing a Health and Safety File;

• to provide Planning Supervisors with all information necessary to enable the full range of duties to be carried out;

• to appoint Principal Contractors, who will be responsible for developing the Health and Safety Plan which should be the basis of the H&S management of the construction phase;
to be reasonably satisfied that Planning Supervisors, Designers and Contractors are competent to carry out their duties;

to be reasonably satisfied that Planning Supervisors, Designers and Contractors have allocated or will allocate sufficient resources to deal with H&S matters in compliance with the CDM Regulations; and

to keep available for inspection the Health and Safety File once it has been prepared.

The following publications, available from HSE Books, give guidance on the Regulations:


• Health and Safety in Construction HS(G)150 ISBN 0 7176 1143 4 - Priced document.


• CDM Regulations - How The Regulations Affect You!

• C500 1/95 PML 54 - Single copies of the leaflet are available free of charge.

What should you do?

1. Ensure that appropriate systems are established and implemented to enable the Department to comply fully with the criminal and civil obligations imposed under the CDM Regulations and other relevant H&S legislation.

2. Ensure that you are aware who the Client is under the CDM Regulations.

3. Establish responsibilities and implement appropriate control/monitoring systems.

4. Ensure that the duties of the Client have been discharged.

5. Ensure that the Planning Supervisor has co-ordinated the Health and Safety aspects of the project.

6. Refer to GACC for information on the appointment and management of consultants and contractors.
WATER ACTS AND WATER BYLAWS 1989

The Water Bylaws made under the provisions of the Water Act 1945 are designed to avoid wastage of water and prevent contamination of the water supply. (Similar legislation exists for Scotland and Northern Ireland.)

Although at present, the legislation is not binding on the Crown, it is government policy to comply with the technical requirements (but not the enforcement procedures) of the Water Bylaws. Hence, if PMs are intending to undertake work which comes within the ambit of the Water Bylaws, e.g., installing additional outlets on the main supply, the relevant Water Company ought to be given seven days’ notice of the intended work and they may require an inspection, although this is unlikely except in the case of major projects.

What should you do?

Ensure arrangements are in place to check compliance with the relevant Water Bylaws.
It is generally accepted that a single contract (e.g., Measured Term Commission) is most suitable for the routine maintenance of buildings internally and externally. This may include minor redecorations, repairs, etc., up to a specified value.

More major works, such as roof replacement, total internal or external redecoration, etc., are likely to be procured more economically by competitive lump-sum tender contracts.

PMs should work closely with their Premises Advisers to establish satisfactory strategies for maintaining the building fabric.

What should you do?

Work with your Premises Adviser to establish an appropriate contract strategy.
This covers all central plant such as boilers, air conditioning, generators, etc and all services such as gas, electric lighting and power, lifts, telecommunications, external lighting, lightning conductors, hot and cold water supplies, heating, ventilation and alarms, etc. Appropriate environmental standards (emission checks, efficiency checks, ozone depletion, minimal use of VOCs, insulation levels, waste disposal/recycling, etc) should be incorporated fully.

Usually, contracts for the maintenance of plant and services are based on regular maintenance/inspection schedules (or log books) or on Performance Specifications (see OPT 2.0 etc). Contracts may cover Operation and Repair as well as Planned Maintenance. Most contracts can also cover minor additions or alterations to services but, as with Building Maintenance, more major works such as complete refurbishment, major plant renewals, etc are better ordered by separate lump sum competitive contracts.

Separate contracts are usually required for lifts and escalators and possibly security systems, automatic standby generator systems, specialist compressor plant, etc. It is usual for such items to be made the subject of nominated sub-contracts to a main Mechanical and Electrical contractor.

One important role of PMs is to ensure that the interface between Premises Advisers/contractors and the occupants of the premises operates satisfactorily and any matters likely to affect the health and safety or the work of occupants inJOBs should be discussed at House Committees, attended by the appropriate Premises Adviser. It is not usually good practice to involve TUS representatives/Representatives of Employee Safety and Premises Advisers/contractors in direct discussion with each other.

PMs should keep their own record of breakdowns or failures which affect the health and safety or the work of occupants and should also record the times when such incidences occur. They should also maintain a list of 24 hour telephone contact points provided by Premises Advisers/contractors for emergency use and ensure that those responsible in their absence are also provided with up-to-date lists.
What should you do?

1. Agree a suitable maintenance regime with your Premises Adviser.

2. Ensure appropriate contracts are in place for the maintenance of plant and services.

3. Ensure adequate liaison takes place between your Premises Adviser, contractors and staff; and

PLANNED MAINTENANCE
The term ‘Planned Maintenance’ is used in at least two ways. It can be used to describe a forward programme of repairs, replacements or decorations to the building fabric, based on regular inspection and aimed at avoiding major deterioration, failures of the various elements or legal difficulties in failing to comply with leases etc. This is the most common approach to maintaining buildings in a satisfactory condition.

It can also be used to describe the Planned Preventative Maintenance (PPM) systems commonly used to inspect, maintain and repair or replace mechanical and electrical plant and services.

Invariably, such work is carried out by contractors of various trades (usually B&C, M&E, grounds maintenance, lifts, etc) who may be more or less specialised in their field, working under the conditions of contracts let and supervised by Premises Advisers.

The choice of a Planned Maintenance strategy, the contracts used, the specifications of the works, the selection of contractors and the administration of the contracts are all functions requiring input from Premises Advisers.

This section of the Guide is intended to do no more than provide an overview for PMs.

What should you do?

Consult your Premises Adviser regarding planned maintenance strategy, as appropriate.
There are a number of management systems which may be applied to the day-to-day maintenance of buildings and building services installations. Of these, the following four systems are the ones most commonly found:

- **Breakdown Maintenance**: in which no particular attention is paid to the building component, plant or installation until failure, degradation in performance or obvious signs of debility arise, at which stage repair or replacement is undertaken, for example the system applied by most householders to their domestic appliances;

- **Planned Preventive Maintenance (without records)**: in which scheduled maintenance inspections and remedial or preventive tasks are undertaken at pre-planned intervals according to the needs of the plant or installation concerned. These inspections, tasks and job frequencies are usually specified by the plant manufacturer. This is typically the system most people apply to their motor cars;

- **Planned Preventive Maintenance (with records)**: similar to the previous system but with a suitably prescribed system of record keeping so that the results of each scheduled (or unscheduled) task are logged and defects, together with the remedial actions taken, are recorded. These records provide an operational history of the component or installation concerned and also, perhaps more importantly, provide the feedback necessary to adjust maintenance tasks and task frequencies to achieve optimum reliability at minimum maintenance cost. When coupled with the records of similar installations, there is probably no domestic parallel to this system but Planned Preventative Maintenance (with records) is vital where complex or very expensive capital plant is involved, where there is a statutory maintenance requirement, or where the need for high operational reliability exists; and

- **Condition Based Maintenance**: which is a system relying on measurable parameters which are characteristic of the condition or performance of a building, item of plant, or equipment. Measured or observed results are regularly obtained, recorded and assessed, so that trends and changes can be readily identified and plans for any necessary maintenance activities can be made in advance.
This system may be used in conjunction with 'condition monitoring', which involves the continuous or periodic measurement and interpretation of data to indicate the condition of an item to determine the need for maintenance. Condition monitoring is often associated with automatic systems using special sensors and sophisticated data logging on a large scale, but the same principles can be utilised effectively in a simple manual system, so long as instrumented measurements are taken regularly and consistently, are assessed systematically. (Vehicle battery maintenance is often 'condition based'). Often, relatively simple sensors can be built in at the time of construction which can be 'read' with the aid of portable instruments. Condition monitoring of heating and ventilating plant can be particularly useful, especially if breakdown maintenance is unacceptable and planned preventive maintenance is too infrequent.
From consideration of the various maintenance systems outlined above, it will be evident that building fabric maintenance can, for the most part, be carried out under a breakdown regime (although hidden structural elements will certainly demand closer attention and may warrant periodic formal appraisal). M&E building services, on the other hand, cannot be treated so lightly. It is important to ensure that systems are energy efficiency.

Whilst it may be perfectly legitimate to resort to breakdown maintenance for some M&E installations or for particular items of plant within a collective installation (e.g., most relatively small electric motors are not really responsive to planned preventive maintenance and are usually cheaper to replace than to repair), the same cannot be said for M&E installations in general.

It is impossible to generalise and an appropriate overall strategy must be consciously developed for the day to day maintenance of all plant and installations in any particular building or estate.

Decisions as to whether particular installations or items of plant should receive breakdown maintenance or full planned preventive maintenance (with or without records) or condition-based maintenance should be based on the overall strategy for the building or estate and should be made in accordance with the following guidance.

Planned Preventive Maintenance with records should be applied if:

- there is an explicit statutory requirement that a particular type of installation must be properly maintained;
- there is a clear but implied statutory requirement, failure to comply with which could, in the event of an accident, result in demonstrable contravention of a more general statute (such as the Health and Safety at Work etc. Act), through having an inadequate maintenance regime;
- the operational importance of the installation concerned is such that sufficient reliability could not be assured by the application of condition-based maintenance or a breakdown maintenance regime. A subjective judgement on this can only be made by the installation owners/users, usually PMs in conjunction with their Premises Advisers. (Note that a high degree of breakdown tolerance may exist where duplicate plant has been provided as a feature of the installation design);
• the capital value of the plant or installation concerned is so high that a breakdown maintenance regime would present unacceptable financial risks. Again, a subjective judgement on this can only be made by the installation owners/users, usually PMs in conjunction with their Premises Advisers; and

• there is a significant environment risk ie pollution.

Where none of the above considerations apply, it would be unnecessary and uneconomic to indulge in planned preventive maintenance and a condition based maintenance or a breakdown maintenance regime should be adopted. Condition based maintenance using selected simplified parameters can be an effective, economic and preferred alternative to costly planned preventive maintenance, or risk-taking breakdown maintenance. In the longer term, breakdown maintenance, if poorly managed, can be more costly than the alternatives.

There is a widespread belief that planned preventive maintenance is unacceptably expensive and that, furthermore, cash limits or other funding constraints mean that day to day maintenance costs have to be reduced, regardless of whether the work is justifiable or not. Nevertheless, there is an absolute minimum level of maintenance which must be carried out in order to meet statutory requirements, to avoid possible prosecution under environmental legislation, to protect installation users from danger, to conserve valuable assets, to sustain critical operational activities and to enable effective management of the accommodation. Indeed, no competent maintenance contractor would be prepared to operate below this minimum strategy level.

Annex PLMT 4.0/2 details the minimum scope of tasks and, where relevant, specified or recommended task frequencies for those types of plant or installations which are likely to be encountered in the Government Civil Estate. In establishing the appropriate maintenance strategy for a particular building or estate, the information in this Annex can be used as a convenient starting point. The inclusion of additional planned preventive maintenance tasks arising from the sort of consideration set out above can be made according to need and the availability of funds. Complete schedules of appropriate additional, optional, tasks and recommended task frequencies will be found in those chapters which deal more specifically with the particular types of installations concerned.
Significant technical knowledge and experience must be brought to bear in determining the appropriate maintenance strategy for the M&E services in individual departmental premises or estates. This means, in practice, that the work should be done either by competent in-house professional/technical staff, or by suitably qualified and experienced consultants in liaison with PMs/Premises Advisers who will be best placed to comment on the degree of reliability required. PMs will also be directly involved because of the financial implications of the preferred maintenance strategy. In any event, the creation of a maintenance strategy cannot be left to the maintenance contractors; their work must be specified as far as possible since there is always the risk that they will carry out unnecessary maintenance work, or cut corners, depending upon the payment structure of the contracts.

Maintenance strategies should have full regards to life cycle costs, including environmental, whilst achieving value for money.

It should be remembered that, unless the scope and the terms and conditions of a maintenance contract are very clearly spelled out, and enforced, the lowest tender is unlikely to provide the best value for money.
One of the foremost necessities for adequate maintenance is to meet statutory requirements. These requirements fall into two categories:

- particular types of equipment, for which the need for maintenance is clearly specified (the minimum frequency of inspection and testing, however may be either specifically stated or not stated); and

- those items of equipment which come under the general requirements of the Health and Safety at Work etc Act 1974 and/or regulations made under that Act, but for which the need for regular maintenance and the frequency of that maintenance is not specifically stated.

For convenience, these two categories are referred to as ‘explicit’ and ‘implied’ statutory requirements respectively.

As a general rule, the Crown enjoys no exemption from specific legislation covering places of work, neither is it exempt from the requirements of the Health and Safety at Work etc Act 1974 although it is exempt from provisions relating to prosecution. It is important to note, however, that individuals employed by the Crown may be liable to prosecution or civil proceedings if it is found that they have failed to comply with the general provisions of the Health and Safety at Work etc Act 1974 or any regulations made under it.

Implied statutory requirements arise from such legislation as the Health and Safety at Work etc Act 1974 and regulations made under the Act such as the Electricity at Work Regulations 1989. This legislation requires equipment and systems to be maintained so as to prevent, so far as is reasonably practicable, danger. Therefore, to meet this requirement, regular inspection, testing and maintenance are essential. However, there is currently no statutory requirement for them to be carried out at specific intervals except for the instances of statutory requirements listed in Annex 1 to this section although local bylaws covering, for example, sports grounds, theatres, caravan sites and launderettes, may specify maximum intervals.

Annex 2 to this section gives an indication of the minimum maintenance that must be carried out in order to meet explicit or implied statutory requirements.
ANNEX PLMT 4.0/1 - STATUTORY INSPECTION

Certain types of installation require formal inspection by a Competent Person as an explicit statutory requirement. The following table gives a summary of them.

<table>
<thead>
<tr>
<th>TYPE OF INSTALLATION</th>
<th>MINIMUM FREQUENCY OF INSPECTION</th>
<th>LEGISLATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lifts such as electric and hydraulic passenger and goods lifts</td>
<td>Every 6 months</td>
<td>An explicit requirement of the following legislation: The Factories Act 1961, The Offices, Shops and Railway Premises (Lift and Hoist) Regulations 1968, The Lifting Plant and Equipment (Records of Test and Examination etc) Regulations 1992.</td>
</tr>
<tr>
<td>Lifting appliances such as runway beams, manually and electrically operated hoist blocks etc</td>
<td>Every 14 months</td>
<td>An explicit requirement of the Factories Act 1961 and the Construction (Lifting Operations) Regulations 1961.</td>
</tr>
<tr>
<td>Lifting tackle chain and wire rope slings, eye bolts, shackles etc</td>
<td>Every 6 months</td>
<td>An explicit requirement of the Factories Act 1961.</td>
</tr>
<tr>
<td>Hoists such as scissor lifts, platform lifts, dock levellers, builder’s hoists; (for buildings under repair, a joint responsibility with the contractor)</td>
<td>Every 6 months</td>
<td>An explicit requirement of the Offices, Shops and Railway Premises (Lift and Hoist) Regulations 1968 and the Construction (Lifting Operations) Regulations 1961.</td>
</tr>
<tr>
<td>Cranes such as jib cranes, overhead travelling cranes, portable cranes etc</td>
<td>Every 14 months and after every substantial alteration or repair</td>
<td>An explicit requirement under both the Factories Act 1961 and the Construction (Lifting Operations) Regulations 1961.</td>
</tr>
<tr>
<td>TYPE OF INSTALLATION</td>
<td>MINIMUM FREQUENCY OF INSPECTION</td>
<td>LEGISLATION</td>
</tr>
<tr>
<td>----------------------------------------------------------</td>
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</tr>
<tr>
<td>Pressure vessels and systems (excluding boilers) such as air receivers and steam receivers</td>
<td>As specified in a Written Scheme of Examination</td>
<td>An explicit requirement of the Pressure Systems &amp; Transportable Gas Containers Regulations 1989. The inspection of steam boilers is also covered by the Examination of Steam Boilers Regulations 1964.</td>
</tr>
<tr>
<td>Pressurised boiler plant and systems, including steam</td>
<td>As specified in a Written Scheme of Examination</td>
<td></td>
</tr>
<tr>
<td>Electrical installations in cinemas.</td>
<td>Annually</td>
<td>An explicit requirement of the Cinematograph Act 1909.</td>
</tr>
</tbody>
</table>

In addition to the above, there may be a requirement for periodic inspection of certain types of installation under local bylaws.

The above inspections are to be carried out by Competent Persons. PMs will be expected to ensure that they are undertaken but not do them themselves unless qualified and delegated to do so.
ANNEX PLMT 4.0/2 - MINIMUM MAINTENANCE REQUIREMENTS

The following table gives an indication of the minimum maintenance that must be carried out in order to meet explicit or implied statutory requirements:

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<th>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</th>
<th>REASON</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electrical installations and fixed appliances in non-hazardous areas</td>
<td>1. Thoroughly inspect and test the electrical installation at the point of origin of supply</td>
<td>5 yearly</td>
<td>To comply with the Electricity at Work Regulations 1989. Compliance with IEE Wiring Regulations is deemed to satisfy</td>
</tr>
<tr>
<td></td>
<td>2. Thoroughly inspect and test each circuit and fixed appliance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inspection and testing of portable and semi-portable electrical appliances</td>
<td>1. Inspect and test ‘high risk’ appliances, such as hand held power tools and their extension leads</td>
<td>6 monthly</td>
<td>To comply with the Electricity at Work Regulations 1989 and HSE Guidance Note PM32.</td>
</tr>
<tr>
<td></td>
<td>2. Inspect and test ‘medium risk’ appliances, such as vacuum cleaners, kettles and other such frequently moved domestic equipment</td>
<td>Annually</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Inspect and test ‘normal risk’ static appliances, such as office machines, table lamps etc</td>
<td>2 yearly</td>
<td></td>
</tr>
<tr>
<td>Maintenance of emergency lighting systems</td>
<td>1. Inspect to ensure that any indicator lamp or device of each self contained luminaire indicates normal operation.</td>
<td>Daily</td>
<td>To comply with the Fire Precautions Act 1971 and, for certain dwellings, the Building Regulations 1991. Compliance with BS 5266 is deemed to satisfy.</td>
</tr>
<tr>
<td></td>
<td>2. Inspect to ensure the main control panel of each emergency battery system or engine driven generator plant indicates normal operation</td>
<td>Daily</td>
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</tr>
<tr>
<td></td>
<td>3. Inspect the emergency lighting installation and test each self-contained luminaire, internally illuminated exit sign, central battery installation and emergency lighting standby generator.</td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Inspect each self-contained luminaire and internally illuminated exit sign, central battery installation and emergency lighting standby generator, and do extended tests.</td>
<td>6 monthly</td>
<td></td>
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### System Maintenance Guide

<table>
<thead>
<tr>
<th><strong>SYSTEM</strong></th>
<th><strong>TASK</strong></th>
<th><strong>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</strong></th>
<th><strong>REASON</strong></th>
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</thead>
<tbody>
<tr>
<td>Maintenance of fire alarm and detection systems</td>
<td>1. Carry out reporting procedure and attend to outstanding faults</td>
<td>Every scheduled visit</td>
<td>To comply with the Fire Precautions Act 1971 and the Electricity at Work Regulations 1989. Compliance with BS 5839, manufacturer's/supplier's instructions and IEE Wiring Regulations is deemed to satisfy</td>
</tr>
<tr>
<td></td>
<td>2. Thoroughly inspect and test power supplies, batteries and chargers, control panel, all manual controls, indicators etc.</td>
<td>3 monthly</td>
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<tr>
<td></td>
<td>3. Inspect and test the alarm devices</td>
<td>3 monthly</td>
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<tr>
<td></td>
<td>4. Check for changes in building structure and usage which prejudice the correct operation of the system</td>
<td>3 monthly</td>
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<tr>
<td></td>
<td>5. Thoroughly inspect and test all break glass call points and response of all detectors/sensors to appropriate fire product</td>
<td>Annually, or one quarter of the points 3 monthly</td>
<td></td>
</tr>
<tr>
<td>Maintenance of overhead travelling cranes and runways</td>
<td>1. Check all components such as gearing, shafting, bearings, brakes, wire ropes, anchorages, rope drums, pulleys, hooks, rails, wheels etc.</td>
<td>3 monthly</td>
<td>To comply with Section 27 of the Factories Act 1961</td>
</tr>
<tr>
<td></td>
<td>2. Check oil in gear cases and bearings; top up as necessary</td>
<td>3 monthly</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Check generators, control panels, radio/infra-red transmitters, conductor rails, festoon cables, limit switches, proximity devices, audible warning devices etc.</td>
<td>3 monthly</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Check rail tracks, structure runway track changeover switches</td>
<td>6 monthly</td>
<td></td>
</tr>
<tr>
<td>SYSTEM</td>
<td>TASK</td>
<td>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</td>
<td>REASON</td>
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</tr>
<tr>
<td>Heating and domestic hot water systems</td>
<td><strong>Storage vessels:</strong>&lt;br&gt;1. Check stored temperatures under no draw-off conditions&lt;br&gt;2. Check outflow water temperatures under normal draw-off conditions&lt;br&gt;3. Test water samples from drain for microbial activity&lt;br&gt;4. Inspect internal conditions</td>
<td>Subject to a Risk Assessment, 6 monthly for buildings with spray outlets and annually for other buildings</td>
<td>To comply with the Control of Substances Hazardous to Health (COSHH) Regulations 1988. Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSE Guidance Booklet HS(G)70 (The Control of Legionellosis including Legionnaires’ Disease) is deemed to satisfy. Medical buildings should, in addition, comply with the DHSS Code of Practice - The Control of Legionellae in Health Care Premises</td>
</tr>
<tr>
<td></td>
<td><strong>Hot water service systems:</strong>&lt;br&gt;5. Check branch, sub-branch and main return water temperatures under normal and no draw-off conditions&lt;br&gt;6. Test samples from outlets for microbial activity&lt;br&gt;7. Clean and disinfect shower heads</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operation of boiler plant with rated output above 150 kW</td>
<td>1. Observe the furnace and chimney top for smoke&lt;br&gt;2. Steam boilers only:&lt;br&gt; (1) Blow down water level gauges&lt;br&gt; (2) Blow down water level controls having separately mounted float chambers&lt;br&gt; (3) Check direct mounted water level controls&lt;br&gt;3. Check water treatment programmes:</td>
<td>Daily&lt;br&gt;Daily&lt;br&gt;Daily</td>
<td>Compliance with the Clean Air Act and the HSE Guidance Note PM5 for automatically controlled steam and hot water boilers</td>
</tr>
<tr>
<td>SYSTEM</td>
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<td>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</td>
<td>REASON</td>
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</tbody>
</table>
| 3B Hot water boilers only: | Weekly | (1) Test makeup water quality  
(2) Record makeup consumption  
(3) Test system water quality  
(4) Adjust rate of dosing as necessary |        |
| 4 Test water level controls and alarms: | Weekly | 4A Steam boilers only:  
Test water level controls and alarms  
(1) Low water  
(2) Second low water  
(3) High water |        |
| 4B Hot water systems only: | Weekly | (1) Drain down water level controls of pressurisation vessels having separately mounted float chambers  
(2) Check direct mounted (internal) water level controls of pressurisation vessels |        |
<p>| 5 Test fuel feed cutoff: | Monthly | 5A Oil fired boilers only - test the operation of the fire valve and examine the fusible link, cable and pulleys etc for free operation |        |
| 5B Gas-fired boilers only - Test gas cut-off arrangement operation | | | |
| Cold water systems | | | |
| 1. Bacteriological analysis of water taken from stored drinking water cisterns containing more than 1000 litres | 6 monthly | To comply with the Offices, Shops and Railway Premises Act and the Health and Safety at Work Act 1974 |        |
| 2. Chemical analysis of water taken from stored drinking water cisterns containing more than 1000 litres | Annually | To ensure continued compliance with Water Bylaws |        |
| 3. Inspection | Annually | | |</p>
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<th>REASON</th>
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<td>Operation of a refrigeration installation</td>
<td>Check water treatment programme for evaporative cooling systems:</td>
<td>Weekly</td>
<td>Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSE Guidance Booklet HS(G)70 (The Control of Legionellosis including Legionnaires’ Disease) is deemed to satisfy</td>
</tr>
<tr>
<td></td>
<td>1. Test system water quality</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Record makeup water consumption and test quality</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Seasonally clean and/or disinfect reservoirs and pipework of evaporative cooling systems</td>
<td>6 monthly, or upon restarting the systems following a period of non-use exceeding one month.</td>
<td>Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSE Guidance Booklet HS(G)70 (The Control of Legionellosis including Legionnaires’ Disease) is deemed to satisfy</td>
</tr>
<tr>
<td>Operation of an air conditioning installation</td>
<td>Check water treatment programme for humidifiers/spray washers:</td>
<td>Weekly</td>
<td>Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSE Guidance Booklet HS(G)70 (The Control of Legionellosis including Legionnaires’ Disease) is deemed to satisfy</td>
</tr>
<tr>
<td></td>
<td>1. Test system water quality</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Record makeup water consumption and test quality</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SYSTEM</td>
<td>TASK</td>
<td>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</td>
<td>REASON</td>
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<tr>
<td>--------</td>
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</tr>
<tr>
<td>Maintenance of an air conditioning installation</td>
<td>1. Seasonally clean and/or disinfect permanently or intermittently wetted surfaces within the air handling system</td>
<td>6 monthly</td>
<td>Compliance with the HSC Approved Code of Practice (The Prevention or Control of Legionellosis) and the guidance in HSE Guidance Booklet HS(G)70 (The Control of Legionellosis including Legionnaires' Disease) is deemed to satisfy</td>
</tr>
<tr>
<td>Operation and maintenance of water treatment plant for swimming pools</td>
<td>1. Test pool water pH and adjust rate of dosing</td>
<td>3x Daily</td>
<td>To comply with the Control of Substances Hazardous to Health (COSHH) Regulations 1988.</td>
</tr>
<tr>
<td></td>
<td>2. Test for free combined and total chlorine and adjust recirculation rate as necessary</td>
<td>4x Daily</td>
<td>Compliance with the HSE Guidance Note EH38 and the British Effluent and Water Association (BEWA) Code of Practice is deemed to satisfy</td>
</tr>
<tr>
<td></td>
<td>3. Examine pool water for suitability for bathing</td>
<td>Monthly</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Check operating condition of disinfection, pH correction and control system for the service water</td>
<td>Daily</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Check ozone generation equipment</td>
<td>2x Daily</td>
<td></td>
</tr>
<tr>
<td>Asbestos based materials - safety procedure</td>
<td>1. Inspect asbestos lagging and materials containing asbestos which form part of M&amp;E installations, except where the lagging or materials are installed on pipes in duct</td>
<td>Annually</td>
<td>To comply with the HSC Approved Code of Practice, the Control of Asbestos at Work Regulations 1987 and the Control of Substances Hazardous to Health (COSHH) Regulations 1988</td>
</tr>
<tr>
<td></td>
<td>2. Inspect asbestos based material installed on pipes in duct</td>
<td>5 yearly</td>
<td></td>
</tr>
<tr>
<td>SYSTEM</td>
<td>TASK</td>
<td>SPECIFIC OR RECOMMENDED MINIMUM FREQUENCY</td>
<td>REASON</td>
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</tbody>
</table>
| Personnel in cold rooms - safety procedure | 1. Inspect and check operation of door release mechanism  
2. Check legibility of instruction plate for release mechanism  
3. Check door heater  
4. Carry out operational check of alarms and emergency lighting | 3 monthly | To comply with the Factories Act 1961 and the Electricity at Work Regulations 1989. Compliance with BS 4434 is deemed to satisfy |

The above inspections are to be carried out by suitably qualified personnel. PMs are expected to ensure that they are undertaken but not do them themselves unless qualified and delegated to do so.
Certain items of equipment, such as lifts, cranes, boilers and pressure vessels etc., are required (under the Factories Acts and the Pressure Systems and Transportable Gas Containers Regulations 1989, for example) to be examined periodically by a Competent Person.

A schedule of items which are subject to statutory examination, together with a schedule of more detailed requirements on minimum maintenance and frequencies can be found at Annexes PLMT 4.0/1 and 2.
PLMT 42

SATISFACTORY MINIMUM MAINTENANCE CONDITION

A table listing most of the commonly occurring building, grounds and services elements together, with accompanying simple statements of what may be considered acceptable minimum maintenance conditions can be found at MTCE 1.4.1.

What should you do?

1. Use the table as an aid to inspections and as a guide to tenderers.

2. Consult your Property Adviser where necessary.
Whilst some minor or specialised repairs are likely to be required from time to time, it is generally accepted that a single contract (eg MTC) should be used to cover the routine maintenance of the building internally and externally and this may include minor redecoration and repairs, etc up to a specified value.

More major works, such as roof replacement, total internal or external redecoration, etc are likely to be more economically procured by competitive lump sum tender contracts.

PMs should work closely with their Premises Advisers to establish a satisfactory strategy addressing the following:

- responsibility for supervision of contractors and sub-contractors, security passes, permits to work, etc;
- safe access routes for staff and/or contractors, if appropriate;
- frequency of inspections, visits, reports, etc;
- responsibility for routine tasks such as cleaning gutters, cleaning drainpipes, tanks, drains, wastes, gulleys, etc;
- response times for emergency attendance to leaks, storm damage, broken windows, etc;
- access for plant, storage areas, etc;
- contractors office/workshop space;
- whether any Grounds Maintenance (eg footpaths, fences, etc) is to be included;
- permitted hours of work;
- frequency of routine tasks (may be based on time or condition at inspection); and
- method of pricing unforeseen or extra works, etc.

What should you do?

Consult with your Premises Adviser to establish appropriate contract strategies for your premises.
In cases where the grounds surrounding the building are minimal, it may be best to incorporate these works into the building maintenance contract (possibly using a sub-contractor). In other cases, the use of a specialist contractor is preferable, although Premises Advisers will normally be able to supervise both types of contracts.

The following is a list of some of the more usual functions covered by grounds maintenance contracts:

- grass cutting (contract may specify frequency or maximum length of grass);
- maintenance of borders, shrubs, etc (weed control, planting, pruning, spraying, etc);
- hedge clipping;
- leaf clearance;
- trees (regular inspections for health and safety, pruning, planting, felling, etc);
- snow clearance;
- fences, walls, barriers, gates, guardrails, bollards, etc;
- car parks (cleaning, marking, etc);
- paths, roads, pavings, etc;
- land drainage;
- road and car park drainage cleaning and maintenance;
- pond maintenance, cleaning; and
- compost heap maintenance.

It should be borne in mind that trees can present a health and safety hazard and require regular expert inspection. Where trees are planted around buildings, advice should be obtained from their Premises Advisers to avoid problems with the building foundations. This is especially important in areas with clay soils.
What should you do?

Consult your Premises Advisers to define appropriate maintenance strategies for your premises and advise on the management of trees near buildings as appropriate and overall good environmental practice.
PLANT AND SERVICES

This covers all central plant such as boilers, air conditioning, generators, etc and all services such as gas, electric lighting and power, lifts, telecommunications, external lighting, lightning conductors, hot and cold water supplies, heating, ventilation, alarms, etc.

Usually, contracts for the maintenance of plant and services are based on regular maintenance/inspection schedules (or log books) or on Performance Specifications (see GACC CRS 1.15.7, for example). Contracts may cover Operation and Repair as well as Planned Maintenance. Most contracts can also cover minor additions or alterations to services but, as with Building Maintenance, more major works (eg complete refurbishment, major plant renewals, etc) are better arranged by separate lump sum competitive contracts. In addition to maintaining the efficiency of the plant, contractors should be required to propose opportunities to improve energy efficiency.

Separate contracts are usually required for lifts and, possibly, security systems, automatic standby generator systems, specialist compressor plant, etc. It is usual for such items to be made the subject of nominated sub-contracts to a main Mechanical and Electrical contractor.

One important role of PMs is to ensure that the interface between the premises adviser/contractors and the occupants operates satisfactorily and any matters likely to affect the work of occupants in JOBs should be discussed at House Committees, attended by the relevant Premises Adviser. It is not usually good practice to involve TUS representatives and Premises Advisers/contractors in direct discussion with each other.

PMs should keep their own records of breakdowns or failures which affect the work of occupants which should also record the times when such incidences occur. They should also maintain a list of 24-hour telephone contact points provided by Premises Adviser/contractors for emergency use and ensure that those responsible in their absence are also provided with up-to-date lists.
What should you do?

1. Agree a suitable maintenance regime with your Premises Adviser.

2. Ensure appropriate contracts are in place for the maintenance of plant and services to ensure efficient operation and identify energy saving opportunities.

3. Ensure adequate liaison takes place between your Premises Adviser, contractors, and staff.

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