

ESTATES COMPLIANCE ARRANGEMENT (ECA)

ECA 05 Permit to Work (PTW) Compliance



1.0 Policy Link (Level 1 Document)

This arrangement has been written in line with the relevant UoL Permit To Work (If applicable) Policy and Guidance notes which can be found at,

[Health and Safety Department \(sharepoint.com\)](#)

2.0 Purpose

The Permit to Work (PTW) system is required to control all works on the building infrastructure deemed as hazardous. This arrangement defines the process and actions of persons involved in hazardous activities requiring permits (which includes all reactive works and PPMs).

3.0 General

This arrangement applies to all identified permit works that are carried out by Estates Department personnel, and Estates Department controlled contractors, consultants and tenants or leaseholders. Where a third party carries out an activity that affects the University of Lincoln, then this arrangement could form part of the agreement to carry out those works if the Estates Department are notified of the required work requiring a permit. The Compliance Team must be notified of this requirement so advice can be given.

It is intended to provide a formal procedure to manage risk when undertaking certain types of work which are potentially hazardous, either because of the location, nature or where normal safeguards cannot be used. The PTW shall ensure that the carefully considered specified controls in the Risk Assessment and Method Statement are followed and are independently verified by competent individuals. A PTW does not replace a Risk Assessment or a Method Statement.

4.0 Procedure

Authority to Access Request (AAR)

It is also clear that some non-hazardous tasks require a control mechanism. An AAR can be completed electronically online for contractors/sub-contractors or consultants who require to draw keys/gain access to buildings (to carry out checks/visual inspections etc) or to carry out non-hazardous works to Estates Department controlled premises. Imtech are exempt from requesting an AAR on the Planon system for day-to-day activities as they have been deemed competent to issue the AAR under their own control. Imtech hold all AAR records.

Please note that you are not allowed to hold University of Lincoln keys overnight, they must be returned to security at the end of each day.

Please note parking is restricted on site: make your presence known to the Security Office to ensure your vehicle does not get a parking ticket.

Person in Charge of Work (PICOW)

The PICOW is the individual who is requesting the AAR permit. The PICOW must ensure that the Risk Assessments/ Method Statements (RAMS) submitted are suitable and sufficient (if required) and the relevant boxes (RAMS seen/RAMS suitable and sufficient) on the online AAR request form is ticked. We will not issue an AAR without the boxes being ticked (if applicable).

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Estates Compliance Team

The Estates Compliance Team will sign (electronically or by hand) all AARs and return the AAR back to the Support Desk for issuing to the PICOW. If the RAMS seen/RAMS suitable and sufficient boxes are not ticked (if applicable) by the PICOW, the AAR should not be issued until this is rectified.

Preparation

An application is made at the following link under the Contractor Management tab,

[Support Desk – Estates \(lincoln.ac.uk\)](#)

The PICOW seeks permission to carry out the work from Support Desk (who gets the Compliance Team to authorise) for the AAR and the Contractor carries out the work.

- The PICOW will apply to the Estates Support Desk using the above link.
- The Estates Support desk will send the request to the Compliance (at estates_compliance@lincoln.ac.uk) team for authorisation.
- The Compliance Team will return the request back to the Support Desk with either a signed request or a rejected request if more information is required.
- If an urgent response is required a phone call to the support desk on internal ext 6777 or from an outside line or mobile phone 01522 886777 can initiate the above procedure but it will be responded to with an email confirming authority has been given to issue the AAR.
- AARs must be planned in advance of the work and supported by written Risk Assessments/SSOWs (if applicable) which must be attached to the permit request. The PICOW is required to review all associated documentation with regards to AAR applications identifying necessary additional controls that may be required. The PICOW must tick the RAMS seen/RAMS suitable and sufficient boxes on the AAR request.
- The PICOW must make sure that the identified controls are suitable and sufficient for the work activity before they sign their section of the AAR.
- All AARs are issued through the Planon System to the PICOW for issue to the contractor.
- AARs must clearly state the period for which the work is valid.
- AARs will be authorised electronically on the University's CAFM system by the Support Desk.
- A copy should also be sent to the Security Supervisor securitysupervisor@lincoln.ac.uk and to Imtech (if applicable) to ensure they are also aware that the sub-contractor or consultant is authorised to be on our premises.
- Electronic signing is acceptable.
- The AAR will have a unique number and will be automatically registered in Planon.
- A copy of all live AARs will be held in Planon and with the PICOW/contractor.

During works

- A copy of the authorised AAR must be held at the place of work by the contractor.
- All controls identified in the AAR must be implemented and followed correctly at all times.
- All work must cease in extreme weather conditions (Snow, Ice, high winds, and heavy rain etc.) and not restarted until it is safe to do so. The decision to cease works/restart work should be controlled by the contractor but can be initiated by anyone who has safety in mind.

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Completion

All AARs must be closed and returned to the PICOW by the contractor at the end of the works and logged within Planon as closed. The following must then happen,

- The completed AAR must be returned back to the Support Desk electronically by the PICOW to enable it to be scanned (this will be done by the Support desk) and attached to the original AAR on Planon for closure and records.

Permit to Work (PTW)

Suitable and sufficient Risk Assessments are adequate for most activities; however, some high-risk activities require additional control measures. A PTW provides for this additional management control, ensuring that persons in charge of work accept their responsibilities for the safe management of tasks.

A PTW should not be used habitually for low-risk work or routine plant isolations, as this can devalue the system. A PTW must not be an excuse to carry out high-risk work without eliminating or minimising the risk, nor should it be confused with giving contractors (or employees) permission to work unsafely. The PTW must be accompanied by a carefully considered and documented Risk Assessment/SSOW before work is initiated. A PTW does not replace a Risk Assessment but should be referred to as an additional control measure.

Person in Charge of Work (PICOW)

The PICOW is the individual who is requesting the permit. The PICOW must ensure that the Risk Assessments/ Method Statements (RAMS) are suitable and sufficient before submitting the permit request to the AR (via the Support desk)

Authorising Role

The Authorising Role (AR) is a member of the Estates Department (please see Appendix 1 for more detailed information) who authorises the permit requests. All relevant documentation will need to be in place and deemed suitable and sufficient for the permit to be authorised.

Listed below are the current different types of PTWs and their time validity which are in use within the Estates Department They are,

Types of work (and time period of permit) which require PTWs

- **Working with asbestos (duration of permit will be confirmed subject to a review of the task)**
- **Working on a fire alarm system (duration of permit - required daily, see exclusion below)**
- **Confined Spaces (duration of permit will be confirmed subject to a review of the task)**
- **HV Limit of Access/Transfer of Control permit (duration of permit - required daily)**
- **Hot works (required daily)**
- **Digging on University grounds - deeper than 300mm (duration of permit will be confirmed subject to a review of the task)**

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- **Working at height (duration of permit - required daily)**
- **Handover control of a site/area to a contractor (see ECA 02/03, After a site has been handed over, the PTW process must be controlled by the relevant contractor who now control that site) – (duration of permit - Length of project and only complete when site handed back)**

Details of each individual PTW requirement can be viewed within the specific ECA.

Current Exemption

The following task has been deemed as exempt and does not need a PTW,

- **Due to current listed PPM control measures on Planon the weekly fire alarm testing checks of all UoL buildings carried out by our FM provider do not require a PTW.**

Preparation

An application for a PTW is made for all identified activities at the following link under the Contractor Management tab:

[Support Desk – Estates \(lincoln.ac.uk\)](https://lincoln.ac.uk/support-desk-estates)

Essential time period requests needed for all permits are:

- **For planned works – 5 working days.**
- **For unplanned/business critical - as soon as reasonably practicable.**

Estates Support Desk Opening Hours are:

- Monday to Thursday 08:30 to 17:00 and Friday 08:30 to 16:30.
- Out of Hours call Security on tel: 01522 886062.

The Person in Charge of Works (PICOW) seeks permission to carry out the work (on behalf of the contractor) from the Authorising Role (AR) and the Contractor carries out the work.

- The PICOW will apply to the Estates Support Desk using the above link ensuring all the relevant documentation is in place.
- The Support Desk will send the request to the Compliance Team (at estates_compliance@lincoln.ac.uk) for authorisation.
- The Compliance Team will return the request back to the Support Desk with either a signed request or a rejected request if more information is required.
- If an urgent response is required a phone call to the support desk on internal ext 6777 or from an outside line or mobile phone 01522 886777 can initiate the above procedure but it will be responded to with an email confirming authority has been given to issue the permit.
- Prior to submitting the permit request the PICOW must check that all relevant documentation (RAMS etc) are suitable and sufficient.
- PTWs should be planned in advance of the work and supported by written Risk Assessments/SSOWs which must be attached to the permit request. The Authorising Roles (ARs) are required to review all associated documentation with regards to PTW applications identifying necessary additional controls that may be required. Please see Appendix 1 for details on ARs.

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- The AR will check that the contractor identified controls are suitable and sufficient for the work activity before they sign their section of the PTW.
- PTWs must clearly state the period for which the permit to work is valid.
- Electronic acceptance – it accepted that an electronic signatures are acceptable for all PTWs.
- PTW will be authorised on the University's CAFM system by the AR.
- All signed PTWs are issued through the Planon System to the PICOW. The PICOW must then get the contractor to sign the PTW before any work commences.
- The permit will have a unique number and will be automatically registered in Planon.
- A copy of all live PTWs will be held in Planon and with the PICOW/AP.
- A PTW will not be issued in projected or current extreme weather conditions (Snow. ice. high winds and heavy rain etc)

During works

- A copy of the authorised PTW must be held at the place of work by the contractor.
- All controls identified in the PTW must be implemented and followed correctly at all times.
- PTWs will be audited by the Estates Compliance Team and ARs. Please see Appendix 3 for details on permit auditing.
- All work must cease in extreme weather conditions (Snow, Ice, high winds, and heavy rain etc.) and not restarted until it is safe to do so. The decision to cease works/restart work should be controlled by the contractor but can be initiated by anyone who has safety in mind.

Shift working

Shift changeovers should be identified in the PTW along with the name of the Shift Supervisor. To deviate from this will suspend the PTW.

Completion

All PTWs must be closed and returned to the PICOW by the contractor at the end of the works and logged within Planon as closed. The following must then happen,

- The completed PTW is to be returned back electronically to the Estates Support Desk by the PICOW to enable it to be scanned/attached to the original permit (this will be done by the Support desk) on Planon for closure and records.

For all Hot Works (HW) permits a physical check of the work area must be made, 60 minutes after the work is completed and an additional check 180 minutes after completion of work to ensure that there is no residual fire risk. This information is clearly identified on the PTW.

Changes to the agreed PTW

The PTW will identify the scope of works, time limits, handover procedures and emergency controls. Once issued there should be no change to the scope of works identified, if there is, an authorised change to the scope of works as a consequence of the works started then the agreed change must be shown on the PTW and initialled by the AR.

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Weekend/Out of Hours – Planned Work

All weekend or out of hours permit requests must be pre planned and included in the original permit request and relevant RAMS. No weekend or out of hours permit work will be authorised for planned operations without prior planning or if it is not deemed as an emergency.

Weekend/Out of Hours – Non-Planned Work

In the event of non-planned work (on either a weekend or out of hours) that is deemed by the PICOW to be an emergency requirement (the individual situation will dictate this) the Security Office should be contacted in the first instance physically by attending the office or on 01522 886062. The Security Office will contact a SLT member of the Estates Dept who will in turn contact a relevant AR and the following will be completed,

In the event that emergency work needs to be carried out and a suitably qualified AR is not on site, then contact with the AR can be made and agreement via phone for a non Planon generated manual PTW form with a temporary permit number to be authorised. This manual permit will be completed and forwarded by either email or mobile device (text/picture etc) to the requester by the AR which will authorise the works once the AR is satisfied. All relevant RAMS are still needed to be in place before a temporary permit can be authorised. The AR will then ensure at the earliest opportunity that this permit request is officially facilitated on Planon as an official permit following the normal PTW procedures above. They will also ensure the temporary permit is attached on Planon for record keeping. No work should be carried out without a permit in place.

Works within an ICT server room

If the area to be worked within contains any of the University hard wired servers or comms rooms then it becomes the ICT Department's responsibility to control/authorise the permit, depending upon the sensitivity of the equipment they will specify on the permit whether an escort is required. The escort would be supplied from the ICT department.

5.0 Estates Department points of contact

If you are unsure whether a PTW is required contact an AR or the Estates Department Compliance Team for clarification or further guidance on these arrangements.

6.0 Associated Documents

Internal

Level 2 Associated Documents

Reference	Title
ECA 01	Fire Compliance
ECA 04	CDM Compliance
ECA 06	Electrical Compliance
ECA 07	Asbestos Compliance
ECA 09	LEV Compliance
ECA 11	Confined Spaces Compliance
ECA 12	Working at Height Compliance
ECA 17	HW Compliance

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Level 3 Documentation

Reference	Title
	N/A

External

Source	Title
Legislation	Control of Asbestos at Work Regulations 2012
Legislation	Control of Substances Hazardous to Health Regulations 2002
Legislation	Management of Health and Safety at Work Regulations 1999
Legislation	Manual Handling Operations Regulations 1999
ACOP	Provision and Use of Work Equipment Regulations 1998
Legislation	Regulatory Reform (Fire Safety) Order 2005
Legislation	Working at Height Regulations 2005

7.0 Change History

Version	Date	Summary of Changes Made
1	08/02/21	New Estates Compliance Arrangement for Permit to Work Created.
2	07/06/21	Internal Review Board Check
3	25/10/21	Completed ECA

8.0 Appendixes

Appendix	Title
1	Authorising Roles for Permits to Work
2	Permit Auditing
3	Authority to Access Request

APPENDIX 1

Authorising Roles for Permits to Work

The persons listed in the table below are deemed to be competent (by either qualifications or by experience) to recognise the known health and safety risks within the fields listed and have enough specialist knowledge to be able to identify the inherent risks with the task and how to effectively manage them.

Qualified

To be competent, an individual should have,

Sufficient knowledge of the specific tasks to be undertaken and the risk which the work will entail; this is usually proven by appropriate qualifications such as (this list is not exhaustive):

- City & Guilds Awards (various awards and categories)
- British Occupational Hygiene Society Certification (various awards and categories)
- Higher National Certificate (various awards and categories)
- National Examination Board in Occupation Safety & Health (General or Construction Certificate and/or National Diploma)

Experience – skills/knowledge

Sufficient experience (suggested minimum of two years' experience at the level currently employed) and knowledge to carry out their duties in relation to the project, to recognise their limitations and take appropriate action in order to prevent harm to those carrying out construction work or those affected by the work.

An Authorising Role (AR) has sufficient technical knowledge, training and practical experience of the processes and their associated hazards. An AR has the following duties with regards to PTW:

- To assess the risks associated with the activity and its effect on the surrounding area and processes.
- To decide if a permit to work is required for the task.
- To issue the appropriate documentation, agreeing the practicalities of the safety precautions and control measures required.

In all cases the AR should be sought out first as they have the most knowledge in that field.

Serial	Activity	Authorising Roles
01	Authority to Access	<ul style="list-style-type: none">• Estates Compliance Team
02	Asbestos (both disturbing and working next to)	<ul style="list-style-type: none">• Senior Compliance Engineer

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03	Work on fire alarm systems	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer • Mechanical and Electrical Maintenance Engineers
04	Confined Spaces	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer
05	HV Limitation of Access/Transfer of Control permit	<ul style="list-style-type: none"> • Electrical Project Engineer • Mechanical and Electrical Maintenance Engineers (or access only on non HV work)
06	Hot Works	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer • Building Surveyors • Mechanical and Electrical Maintenance Engineers
07	Permit to dig beyond 300mm	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer • Building Surveyor
08	Working at Height	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer • Mechanical and Electrical Maintenance Engineers • Building Surveyor
09	Hand over site to Contractor control	<ul style="list-style-type: none"> • Senior Compliance Engineer • Senior Compliance Officer • Compliance Engineer • Compliance Officer • Project Managers

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APPENDIX 2

Permit Auditing

Permits will be audited to ensure that the recipient of the audit is working within the permit limitations. Below is the format which the audit will follow including the frequencies. ARs may choose to carry out audits at increased frequencies depending on the hazards or risks being managed.

Completed audits must be filed in the Estates office by the Compliance team and recorded where applicable on the Planon job or Planon PTW notes

Permit to Work Audit

Objective - It is the objective of this audit to determine that the permit management process is being delivered at an operational level. Measured outcome will be distribution and completion of associated documentation in the correct sequence, in the right location and to an acceptable quality. Closure of works must be regarded with the same sense of priority. All documentation must be assessed for completeness and accuracy.		
Permit Type		
		Y/N
Has the permit been raised on PLANON		
Is the task associated high risk permit and if so, is it the correct authoriser?		
Is COSHH data sheets available		
Are RAMS available, understood, followed, and signed,		
Are relevant drawings or manufacturers literature available?		
Have the correct high-risk activities been considered,		
Does the permit reflect adequately the zone, location, service and activity associated with the works to be undertaken		
Are the correct time frames recorded		

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Has the contractor retained a copy for display if requested	
Has the permit issuer signed the issued section	
Has the permit been accepted and signed by the engineer	
When questioned does the vendor display a thorough understanding of the works to be undertaken, the residual risks present, and the control measures required to prevent risk. Has this been communicated to additional members of the team?	
If a Permit to Dig has the potential presence of Asbestos been highlighted.	
Has the permit been closed correctly by signing and dating	

Permit Audit Frequencies

Permit Type	Frequency
Working with or adjacent to Asbestos	1 in 1
Work on the fire alarm systems.	1 in 10
Confined Spaces	1 in 5
High voltage electricity	1 in 1
Hot Works.	1 in 5
Digging on University grounds (deeper than 300mm)	1 in 1
Working at Height. Various degrees of authorisation exist.	1 in 10
Handover control of a site/area to a contractor	1 in 1
Authority to Access	1 in 50

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APPENDIX 3

Authority to Access Request

Please see link under the Contractor Management tab,

[Support Desk – Estates \(lincoln.ac.uk\)](https://lincoln.ac.uk/support-desk/estates)