



# Defining the Health and Safety Responsibilities between

## The School of Engineering, Physics department and the Nanofabrication RTP

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## 1. Parties to the Agreement

This document serves to clarify health and safety responsibilities principally between the School of Engineering Department (SoE/"the Department") and the Nanofabrication Research Technology Platform ("the RTP") at the University of Warwick. The Physics department takes the role of "the host department" for spaces located in the Physics building but used by Nanofabrication RTP.

## 2. Objectives

- a) The objective of this document is to formalise the roles and responsibilities of both the Departments and the RTP at the University of Warwick in relation to health and safety and statutory compliance.
- b) This document should be used as the benchmark for any review meetings if required and if necessary, to be used to formalise modifications to the provisions of the service(s) offered by the Departments.
- c) Neither the Departments nor RTP shall make any unilateral amendments to this document without joint consultation and agreement.

## 3. Documentation

This document is formed from the following health and safety related documentation:

- a) The University Health and Safety Policy and the latest version of the 'Leadership & Management of Health and Safety at the University of Warwick' document available from the webpage [Health and Safety Policy \(warwick.ac.uk\)](https://www.warwick.ac.uk/healthandsafety)
- b) School of Engineering [Health and Safety Policy & Arrangements](#)
- c) Physics department [Health and Safety Policies & Arrangements](#)
- d) Research Technology Platform [Health and Safety Policy & Arrangements](#)

## 4. Duration and Review

This document shall take effect from March 2025 as a basis prior to initial approval by Departments and RTP representative(s), then will remain in force formally from the date of approval for as long as there remains a relationship between the Departments and RTP. After initial review after 6 months this document will be revisited by the Departments and RTP annually to ensure it is fit for the purpose, with update and approval of changes in writing when necessary.

## 5. Budgets Associated with Responsibilities

The Department and RTP will budget for the activities that they are responsible for, as set out within this document.

Should there be any additional service required that has not been budgeted for that arises outside the scope of this document, then both parties must agree who will deliver that service and agree how it will be paid for before the service is put in place. Any ongoing provisions should be reflected in a revision to this document.



## 6. Areas

The spaces currently occupied by the RTP are listed in Appendix 1.

## 7. Key Personnel

A list of key personnel from both the Departments and the RTP, their work contact numbers, and email addresses can be found in Appendix 2.

## 8. Scope

This is an agreement which defines the health and safety responsibilities between the School of Engineering Department, the Physics department where applicable, and the Nanofabrication RTP as set out in this document and in the Schedule Summary in Appendix 3.

It should be noted that all relevant University policies and codes of practice will still apply.

For shared spaces the requirements would be equal for all staff regardless of the department.

For the purpose of BSI audit, the host Departments and NF RTP are considered separate entities.

## 9. RTP Personnel

All RTP group members who reside in the School of Engineering must attend an induction and complete the mandatory training, as required by all Engineering staff and students. The RTP Manager will make arrangements with the Department to ensure that this takes place prior to commencement of any work. Laboratory access will not be granted until this has been completed.

RTP personnel must be provided with access to the health and safety arrangements relevant to the Department. This information is primarily available from the [Health and Safety at the School of Engineering](#) webpages. All those who work in the RTP space must abide by the rules set out by the Department.

All RTP staff must be trained and/or experienced to carry out their work, or be under the supervision of a trained person, so that the RTP work activities do not pose a risk to other lab users, School of Engineering staff/students, Estates staff, or to contractors who may need to enter the space in order to carry out work on behalf of either the Department or the Estates.

The RTP Manager will be responsible for providing updated information regarding any changes to personnel. Those leaving the University must follow the [HR leavers process](#) and any local processes that have been defined within the RTP and/or the Department. It will be the responsibility of the RTP Manager to ensure that any hazardous materials or equipment are effectively handed over to other 'responsible personnel' within the RTP prior to leaving, that is in the physical sense and also the electronic records are updated where applicable, meaning the responsible person for hazardous material must be updated on the LabCup.

All RTP staff and their visitors must keep their identity badges on their person at all times.



## 10. Representation of NF RTP on SoE Health and Safety Committee

The RTP will provide representative to join the School of Engineering Health and Safety Committee who will attend and actively participate in discussions relating to health and safety.

## 11. Risk Assessments

The RTP Manager shall ensure that risk assessments are in place for any work that poses a risk and that there are sufficient arrangements in place for managing both normal and abnormal situations, including emergencies that could arise from their work.

## 12. Emergency Arrangements and First Aid

University of Warwick guidance will be followed to ensure sufficient numbers of qualified first aiders in all buildings, listed at [Qualified First Aid Staff by Building/Department](#) webpages.

Consideration should be paid to the provision of first aid and whether there is sufficient cover within the Department to permit them to extend cover to the RTP, or as to whether any staff from within the RTP itself should be trained in first aid. The Community Safety team can provide first aid too, however any need for specialised first aid provision must be covered by RTP should these requirements arise from RTP activities.

All staff associated with RTP must be trained to understand the local emergency arrangements related to their own respective space(s) and own activities, and more generally related to the Department or site where they work. The responsibility of ensuring that all RTP staff have received such training will be the responsibility of the RTP Manager.

Should RTP staff need to work in alternative work locations, the responsibility for ensuring that RTP staff receive a local induction will fall to the RTP Manager.

## 13. Contractors

All departments of the University must follow the University of Warwick Contractor Policy at all times. The Contractors policy and other information relevant for Contractor Engagement Process are contained on the central H&S [Contractors webpage](#), including the required minimum insurance level required.

The contractor will always remain the responsibility of the appointing department (i.e. the Departments or RTP or Estates). The responsibility for maintaining documentation relating to the engagement of contractors will remain with the respective appointing person. All contracted personnel must receive an appropriate induction. Where a contractor is working in another location, occupied by another department, then a further local induction may be required (this would be particularly relevant to the more hazardous spaces) and arrangements to facilitate that must be made by the appointing department. The appointing department will be responsible for ensuring that appropriate site-specific risk assessments and method statements are in place which cover the work activities required. Should a [permit](#) be required the appointing department will be responsible for ensuring that these are acquired and agreed with Estates prior to works commencing.



Below is an outline of where responsibilities lie when contractors are engaged by one department but may be required to carry out work in another.

## 13.1 Contractors appointed by Estates

The Estates have their own arrangements for appointing contractors, and they follow their own procurement processes. Where there is known work to take place within the School of Engineering, which includes a space occupied by an RTP, the RTP Manager will be notified via the School of Engineering so far as is reasonably practicable.

The RTP Manager and the Technical Services Manager (TSM) will be jointly responsible for sharing any hazard related information relating to the spaces concerned with Estates during the planning stage, so that this can be taken into account by their appointed contractor. Whilst the Estates may be responsible for the management of the contractors conducting the work, any necessary local inductions will need to be coordinated and conducted (as required), by the Department/RTP where the work is going to be carried out. The responsibility for these must be agreed at the planning stage. If the work is solely to be conducted in an RTP space, then the responsibility for this will fall to the RTP Manager. The RTP and Department will notify each other of any works in their spaces that are likely to have a wider impact outside of their own allocated footprint.

## 13.2 Contractors appointed by the Department

The School of Engineering has its own H&S validation process in place in line with [Contractor Engagement Process](#). When the School of Engineering appointed contractor is required to access a space occupied by an RTP, the Department will make suitable arrangements with the RTP Manager for the work to be completed at a time when there is least impact in so far as is practicable.

The RTP has a responsibility to share any hazard related information that could have an impact on the work and shall engage with the Department to ensure that this relevant information is provided in advance to permit their contractor to develop their own risk assessments/method statements (RAMS) related to their activities.

Relevant documentation such as RAMS related to any work to be conducted within an RTP space shall be shared by the TSM with the RTP Manager prior to the work being carried out. An agreement as to who will take responsibility for the delivery of an induction must be made during the planning stage, so it is clear who will provide this when the contractors arrive on site.

## 13.3 Contractors appointed by the RTP

The RTP will carry out their own H&S validation process to deem any contractor competent that they need to bring onto university premises. This will need to include other checks that are required, such as insurance coverage.

All documentation must be held locally to demonstrate that the [University of Warwick Contractors policy](#) has been followed. The RTP Manager will also be responsible for ensuring that the relevant documents demonstrating H&S validation of contractor has been conducted are uploaded to the OPeRA e-procurement system when placing a requisition for use of that contractor, (for instance, screen shot of SSiP membership in date, valid insurance certificate, RAMS). This should prevent unvalidated contractors from being used and should permit the requisition to be approved in the system. Should the contractor need to access other space(s) occupied by the Department, liaison by the RTP Manager will be made with the Department prior to the work so that suitable access can be arranged and



relevant health and safety related information can be exchanged during the planning stage as appropriate.

The RTP Manager will be responsible for ensuring that relevant health and safety information has been provided to their contractor in advance, that suitable RAMS have been supplied that capture how any risks arising from the contractor's work will be mitigated, for arranging relevant access, for conducting inductions on site and for contractor monitoring whilst the work takes place, including making sure that they leave the space in a safe condition upon their departure.

## 14. Suitability of the Space to Conduct Work

The RTP Manager will be responsible for ensuring that the space(s) allocated to them within a host department is/are suitable for the type of work to be conducted. Any modifications required will be at the cost of the RTP and at the discretion of others as required under relevant Warwick policies and procedures. If the RTP plans to introduce changes to its work which may impact Departmental activities, it will consult with the relevant Department (SoE, Physics and/or Estates where required) before making such changes.

## 15. Hazard Information & Lab Noticeboards

The RTP Manager, as a 'space owner' will be responsible for completion of their own [lab noticeboard](#) for the spaces that they work out of and for updating the Warwick Hazard Management System with information that accurately reflects what is being stored, used, handled, etc. in each space that they occupy. As a minimum, this information shall be checked annually and updated upon a significant change. Lab Noticeboards must be displayed on entrance doors to any hazard space and also uploaded to the Warwick Hazard Management System to permit remote access by Community Safety if required in an emergency. Any emergency arrangements relevant to the space can also be uploaded to this system if required.

RTP Managers (or their nominated representatives) who require access to Warwick Hazard Management System shall request access via [Health and Safety Services](#) 'Ask for Advice'.

## 16. Hazardous Materials

The RTP Manager is responsible for ensuring that they approve any materials brought into their space(s), whether that be via the OPeRA e-procurement system, or via other means, and that the materials are delivered in a safe condition, with all relevant warning signage and packaging as required under several pieces of Health and Safety statute in so far as is reasonably practicable.

The RTP department (as a whole) is Top tiering the requisitions for chemicals ordering submitted by RTP staff. The host Department, the School of Engineering, can provide support into the temporary storage of materials being purchased or acquired by the RTP if delivered directly to the Engineering Stores.

The School of Engineering will temporarily store chemicals and materials coming into the department on behalf of the RTP, but it will be the RTP's responsibility to ensure that anything requiring specific storage requirements is discussed and agreed with the Stores staff prior to its arrival. A good level of communication must be maintained between Engineering stores and RTP personnel ordering hazardous materials. Engineering stores staff would inform RTP staff (ordering personnel) about incoming delivery as soon as it is practicable. Chemicals and other hazardous materials ordered by RTP must be promptly collected from Engineering stores.



Once within the RTP space(s) it will be the RTP Manager's responsibility to ensure that the materials are stored safely and if required, securely, and that relevant information is collated into a chemical inventory (LabCup). The RTP Manager will also be responsible for ensuring that their hazardous materials are barcoded and stored as per the laboratory arrangements set up within this system. The inventory will need to be updated as chemicals come in and out of space and complemented by an annual stock check.

The RTP Manager will follow the same procedures for introducing a chemical to the space as applicable to the Department. This will include ensuring that there are suitable storage facilities, that the materials can be used safely, that the relevant engineering controls are in place and that there is already a waste stream available to them. The waste stream will be managed via the Department, therefore relevant checks must be made by the RTP Manager prior to their introduction, that the material(s) being introduced to the space can be safely handled and disposed of via Engineering Stores and the Technical Services team in the Department. Without the waste stream in place, the material(s) must not be introduced. Where a material has unknown characteristics, it is necessary to have a discussion with the Department before introduction of this material. Where this leads to inability to dispose of materials by the processes above, RTP must organise and cover the full cost of disposal.

Material received from external companies, for instance material sent for analysis, should be preferably returned to the external company unless waste disposal arrangements have been agreed upon before accepting material for analysis. The RTP Manager shall ensure that all RTP personnel are suitably trained and competent in the waste procedures to ensure that RTP waste is properly streamed via the Department's own waste arrangements.

Any hazardous materials introduced will be the responsibility of the RTP Manager to manage and oversee, to ensure that the health and safety of those working with that material is not compromised. In a similar way if the material introduced through the work of the RTP could damage or contaminate equipment or the space allocated to the RTP, any remediation will be at the cost of the RTP.

All hazardous materials used will be subject to risk assessment as per any other work activity. Should the Department share a space allocated to the RTP, the RTP Manager will have the right to refuse to permit hazardous materials to be used, handled, or stored within a space which has not been subject to risk assessment and deemed safe.

The RTP Manager will be responsible for ensuring that sufficient arrangements are in place for what would be considered 'normal' operations as well as emergency arrangements in connection with the work that takes place within their own space(s). Emergency arrangements could include (but are not limited to) gas detection and alarms, arrangements for evacuation and/or emergency shutdown, first aid and spillage management for example and any associated training required for staff and others using the space as appropriate. Any emergency arrangements that could impact wider than just the RTP space shall be fed into the local emergency management arrangements for the building.

Should special first aid arrangements are required for the management of any hazardous material introduced, it shall be the responsibility of the RTP Manager to ensure that this is in place prior to acquisition. Should the Department not have the required first aid skills, the RTP Manager will be responsible for ensuring that they have the acquired skills and equipment required to manage the risks, as per any other risk introduced by their work (for instance the spill kit).



## 17. Laboratory Equipment

The Department will provide support in relation to elements of the workflow (where required) during the ordering of laboratory equipment and consumables and their delivery to the Engineering Stores that have been purchased by the RTP prior to their collection.

A good level of communication must be maintained between Engineering stores and RTP personnel ordering any equipment and other materials. Engineering stores staff would inform RTP staff (ordering personnel) about incoming delivery as soon as it is practicable. Large equipment must be promptly collected from 'Goods in' space. The department will not accept any responsibility for any loss or damage to equipment pending collection. Any specific requirements for storage of laboratory equipment must be communicated between Engineering stores and those ordering items in advance. Any deliveries outside the goods in normal operating times or deliveries that the Department did not receive adequate notice of delivery will risk being turned away. In these instances, the Department will not be liable for any associated charge for redelivery.

The RTP Manager will be responsible for managing laboratory equipment within their RTP and for maintaining their own asset register in line with [Financial Procedure 19 Fixed assets](#).

The RTP Manager will be responsible for ensuring that their laboratory equipment remains safe for use and for taking out of use any equipment that is not deemed safe. Maintenance and calibration decisions of laboratory equipment owned directly by the RTPs will be the responsibility of the RTPs.

There will need to be clear arrangements to ensure that the responsibility for the management and maintenance of 'joint' or 'shared' equipment is in place prior to it being put into use. Where necessary a joint asset list should be drawn up and added to the Appendix section within this Responsibilities Document.

Asset tagging for other reasons (financial or grant requirement) will be the responsibility of the Department. The RTP Manager will need to inform the Technical Services Manager of any new item requiring such tagging other than those which have already been asset tagged by Estates as part of Estates project.

### 17.1 Access Equipment / Ladders

The RTP Manager will be responsible for recording any access equipment required for their own RTP and for undertaking periodic checks. Where there are several ladders and stepladders owned by the RTP, then maintaining a local register would be recommended. Suitable type inspection tags are available (as indicated on the [Health and Safety Services Working at Height](#) webpages). Items that fail their check will be quarantined by the RTP Manager until the item is repaired or replaced. The RTP will be responsible for any repair or replacement costs.

### 17.2 Statutory Testing

The RTP Manager will be responsible for managing laboratory equipment within their RTP and for ensuring that all items subject to [statutory testing](#) are appropriately asset tagged by direct liaison with the Estates Compliance team (<mailto:EstatesCompliance@warwick.ac.uk>).

Equipment owned by the School of Engineering is tagged – ESxxxxxxx.

Equipment owned by RTP is tagged – PFxxxxxxx.

The RTP Manager will be responsible for maintaining their own asset lists and for informing Estates of any equipment that needs to be subject to a statutory examination and test, using Statutory Inspection Report Form (SIRF). This form shall also be used by the RTP Manager to



relocate or remove items from the statutory testing register. The RTP Manager shall notify the Department (the Departmental Point of Contact) and H&S Compliance Officer whenever a new type of statutory asset has been registered to ensure that the Department engages with the RTP when Estates are planning to carry out routine statutory examination and testing of those items that are relevant to their operations, including local exhaust ventilation systems, pressure systems, lifting equipment and bulk storage/lab gases. The Departmental Contact list is routinely updated and can be found as a link from this page: [Statutory Inspection \(warwick.ac.uk\)](#).

Routine statutory examinations and testing carried out across the Department via Estates will most often require coordination between the Department and RTP. Upon receipt of information of testing dates from Estates, the Department will endeavour to make suitable arrangements with the RTP for this work to be carried out at a time that is reasonable for both parties. If equipment requires urgent attention, then the responsibility will be for the RTP Manager to make suitable arrangements directly with the [Estates Compliance](#) team.

The RTP Manager will be responsible for ensuring that their laboratory equipment remains safe for use and for taking out of use any equipment that is not deemed safe. Maintenance and calibration decisions of laboratory equipment owned directly by the RTP will be the responsibility of the RTP.

The RTP Manager will be responsible for removing any asset that previously was subject to a statutory test upon that item being disposed of or for relocating assets to other spaces by submitting [SIRF form](#). Removal of any such item must be evidenced – the photograph of asset destroyed or otherwise rendered not useable or email notification about completed Resolve ticket must be attached to SIRF if asset was removed/collected by Estates using [Resolve](#) reporting system.

## 17.2.1 Local exhaust ventilation

Local Exhaust Ventilation will be expected to be managed jointly by the Department and the RTP.

LEVs that have been added to the statutory test register will need to be subject to an annual statutory examination and test, known as Thorough Examination and Testing (TEt). This is carried out via an external contractor. All tested LEVs will have a statutory test sticker affixed, denoting whether the fume cupboard or other piece of local exhaust ventilation system has passed or failed its statutory test. It is the RTP Manager's responsibility to ensure that any item that has failed its statutory test is taken out of use and the repair is arranged without delay.

Reports of Thorough Examination and Testing (TEt) of LEVs are uploaded to the Estates SharePoint site currently and can be made available from the Estates Mechanical Services Contracts Supervisor or from H&S Compliance Officer upon request.

Should any future LEV system introduced into RTP space be fitted with a recirculating filter, it will be the responsibility of the RTP Manager to ensure that the filters are changed when required. Their handling and disposal shall be arranged as per any other hazardous waste stream.

User Check Record Log is affixed to each fume hood to enable fume hood users to record the pre-user checks each time they use the fume hood (p. 2 from [Fume Cupboard User checks and Logbook](#)). The records of these checks are also stored electronically. Pre-use checks of LEV systems within the space(s) allocated to the RTP will be the responsibility of the RTP Manager. The RTP Manager must ensure that the



pre-user checks are completed and that any defects discovered are reported to Estates (and the equipment taken out of use immediately until repair has been made). The RTP Manager will be responsible for ensuring that all lab users who need to use LEV within their space(s) are appropriately trained in their use, their training is recorded, they are aware of the requirements for pre-use checks and for reporting faults.

Once a month the fume hoods should be checked with an anemometer and readings should be recorded on a suitable template. It is the responsibility of the person conducting the monthly check (from RTP staff) to record that these checks have been done, and to notify the RTP Manager (or their designated representative) of any issues arising from these. The electronic version of the monthly checks must be made available to the Department on request. The failed fume hood or any other LEV must be taken out of use and the '[Out of use](#)' sign must be displayed until equipment is repaired through engagement with Estates or the 'health and safety validated' contractor they engage directly, as appropriate.

## 17.2.2 Lifting Equipment and Pressure Systems

This relates specifically to lifting equipment and pressure systems which are currently examined and tested through the Statutory inspections contract managed by Estates Compliance team. The appointed contractor will only examine and test items which have been reported and logged via the Statutory Testing Register.

Currently there is no pressure systems recorded in any spaces occupied by NF RTP that are being inspected by Ashdale Engineering, provider of statutory inspections for Warwick University.

Three items of lifting accessories are being inspected under LOLER 1998 on 6-monthly basis.

Inspections are arranged by host Department. Therefore, the reports are available from DPoC on request or from H&S Compliance Officer.

The equipment is asset tagged and recorded in Warwick Asset register. Therefore, it is important to keep the records correct and updated for changes in asset type location, if new asset is acquired or the old asset is removed from site. This has to be done by using the [Statutory Inspection Report Form \(SIRF\)](#) .

## 17.2.3 Statutory Consumables

The RTP Manager will be responsible for ensuring that consumables such as regulators, flashback arrestors, flexible hoses and any other consumable used as part of a gas delivery system within their allocated space(s) are replaced at the required scheduled intervals and records are updated on the University online management system via [SIRF](#). Gas cylinders permitted to be in the laboratory will also be the responsibility of the RTP Manager to manage and to replace them as required. The gas cylinders must be recorded on LabCup.

Fire extinguishers (formal testing, re-charging and/or replacement) are managed via Estates. Should there be a need for an alternative provision other than what is provided, then the RTP Manager will provide a copy of their work activity risk assessment to the Fire Safety Adviser (Health and Safety Services) and if a new extinguisher is approved, shall make suitable arrangements with Estates for the relevant one(s) to be supplied.



## 17.3 Electrical Safety

### 17.3.1 Fixed Wire Testing

Fixed wiring condition surveys are conducted by Estates (by external contractor), via liaison with the Department every 5 years. The Department will engage the RTP to advise when the contractor will be conducting the work within their own buildings where the RTP is based, whether that be related to the testing or remedial work that follows. The RTP will be responsible for managing its activities to allow fixed wire testing in its spaces.

### 17.3.2 Portable Appliance Testing

The RTP Manager will be responsible for maintaining their own list of assets that require portable appliance testing and for providing this list to the Department for incorporation into the Department portable appliance testing regime. The Department will engage an Estates approved contractor to conduct portable appliance testing. This is at a cost to the Department. As such, the Department has a right to recoup any costs incurred associated with the RTP assets having been included within their own portable appliance testing programme. The recharge cost will be at the discretion of the Department. The Department can ask RTP to raise a separate Purchase order prior to organising the testing.

The Department will make arrangements for the portable appliance testing to take place as per University of Warwick Electrical Safety Policy and Code of Practice – Portable Electrical Appliance Inspection and Testing (on central H&S [Electrical Safety](#) webpage) and will advise the RTP when this work will be carried out and liaise directly with the RTP Manager to coordinate testing within their areas.

The contractor will affix a test label to each item upon passing the test. Any failed item within the RTP facility will be the responsibility of the RTP to take it out of use and to seek repair/replacement. When failed items belonging to RTP are reported to the Department, the Department will inform the RTP Manager (or their nominated representative) of those items listed against the RTP space(s) that have failed their test as soon as reasonably practicable. Failed electrical items belonging to RTP that will not be repaired must be disposed via WEEE waste stream. This can be requested by raising the ticket through [Resolve](#). Cost for the removal of this waste would fall to the RTP.

Report on PAT tested items can be made available for RTP Manager upon request.

## 17.4 Gas Delivery (from Bulk Storage), Detection and Monitoring

It is the responsibility of the RTP Manager to ensure that any spaces allocated for their use meet the requirements for the work that they wish to carry out. This includes checking that the gases or compressed air are delivered at the right pressure, or that the relevant gas detection or depletion monitoring devices are fitted where required as an output from a work activity risk assessment.

### 17.4.1 Gas Delivery Systems (part of infrastructure)

A Written Scheme of Examination (WSE) is necessary for pressure systems containing relevant fluids at a pressure equal to or greater than 250 bar litres. Relevant fluids include steam, gases, or any fluid in a state where its pressure and temperature could cause a danger.



Information relating to the delivery systems, whether this be associated with laboratory gases or compressed air can be requested via the Technical Services team and Estates, respectively.

### **Bulk storage**

The ownership of the bulk storage tank behind the D block used by Nanofabrication RTP sits with the RTP. Therefore, the RTP is responsible for maintaining this asset including the related infrastructure inside the building/where the RTP equipment is connected.

### **Compressed Air**

The Estates department is responsible for the inspections and maintenance of the compressed air delivery system up to the point where it reaches the isolation valve if the equipment was added to Asset register for statutory inspection and maintenance.

The maintenance of these only starts to be the responsibility of RTP when it reaches the point of a local isolation valve and from here to whatever RTP equipment is connected to it. The responsibility for anything connected to gas delivery systems will fall to the person responsible for the space. In the case of the spaces occupied by the RTP, these will be the RTP Manager's responsibility.

### **Gas Manifold Systems**

The annual inspection and maintenance of all gas manifolds registered as SoE assets (tagged as ESxxxxxxx) is arranged by the Department. The Department will notify the RTP about the upcoming visit in good time and the RTP will make the gas manifolds they use accessible for the inspection. These pressure systems must be registered on the Warwick online asset management system. The inspection reports and WSEs can be made available to RTP Manager upon request from TSM. The Department and RTP must agree on the meeting the cost of inspection and any associated remedial works for gas manifolds used by RTP beforehand if the inspection is organised by the Department or alternatively, the RTP would organise the inspection of gas manifolds they use separately to the Department fully covering the cost of this.

## **17.4.2 Gas, smoke or flame detection systems (part of infrastructure)**

The records of building related systems, including fire detection (smoke/flame) reside with Estates. Access to this information can be obtained by the Department or RTP upon request.

Smoke or flame detection systems that constitute part of the building infrastructure are the responsibility of the Estates department to maintain and for those working in the buildings to check that these remain fully operational and to report faults, when these arise, to the Estates Service desk via [Resolve](#) (app or report online).

Fitted gas detection systems must be recorded on Warwick online asset management system. RTP Manager is responsible for arranging a regular inspection of the gas monitoring system installed in the Clean Room D0.32 and covering the cost of this and of the remedial work if applicable.

## **17.4.3 Portable Detection Devices**

Any portable gas detection devices introduced as a control measure following a risk assessment by the RTP will be the responsibility of the RTP to manage and maintain. A record of these devices must be maintained by the RTP Manager, including details of what they detect, and when they need to be checked, tested, or replaced. Such a



record should be made available to anyone else carrying out a work activity risk assessment in the space(s) and for inspection and auditing purposes.

## 18. Legionella/Water Quality Management

The Estates department is responsible for conducting legionella risk assessments for all university owned buildings. The Department shall ensure that spaces occupied by the RTP are brought to the attention of the Estates department at the time that the risk assessment is being completed. This is to ensure that access can be obtained to the RTP spaces and that any infrequently used outlets within the domain of the RTP can be identified at that time.

Note: an infrequently used outlet (IUO) is one that is not in regular use (i.e., not used at least once per week).

All water outlets at the university are asset-tagged by Estates as EXxxxxxxx. It is the RTP Manager's responsibility to ensure that all outlets have been asset tagged within their own space(s). Should an asset sticker/tag be missing, the RTP Manager must engage with the [EstatesCompliance@warwick.ac.uk](mailto:EstatesCompliance@warwick.ac.uk) to make suitable arrangements for a barcode to be affixed.

Currently, there are no infrequently used water outlets in any of spaces used by NF RTP.

Changes in the water usage within the RTP space(s), whether no longer infrequently used, or no longer in use, must be reported directly to the Maintenance Engineering Assistant Surveyor for Water at Estates, so that the water hygiene logbook can be altered to reflect the change. Any requirement to flush IUOs and maintain a record as part of the legionella water hygiene logbook will be the responsibility of the RTP Manager for space(s) that they occupy.

Any infrastructure changes to the water systems in the space(s) must not be carried out without full consultation and agreement of the Estates department.

## 19. Additions/ Deletions & Amendments to the Schedule

Anything added to/deleted from this schedule must be agreed to by both parties. The summary schedule (Appendix 3) must be amended for all additions and/or deletions.

The Technical Services Manager from the Department shall be the person responsible for amending the schedule once agreed and for sending a copy to the RTP Manager.

## 20. Cross-Charging Arrangements

Should there be a need for cross-charging to be made between the RTP and the Department, then such arrangements will be agreed on and documented at that time.

## 21. Dispute Resolution

In the event of any dispute between the RTP and the Department, the initial route for resolution will be via the Director of Operations in the Department and the Director of Research Technology and Technical Strategy. Each party will work to reach a mutually acceptable solution.



## Appendix 1 – Space occupied by Nanofabrication RTP:

The spaces currently occupied/used by the RTP include laboratories and office area as listed below:

- 01.030.000.097 – D0.32 (Science City Smaller Clean room)
- 01.030.000.095 – D0.32 (Science City Large Clean room)
- 01.030.000.096 – D0.32 (Gowning lobby A)
- 01.030.000.093 – D0.32 (Gowning lobby B)
- 01.030.000.091 – D0.32 (Service corridor A)
- 01.030.000.098 – D0.32 (Service corridor B)
- 01.030.000.086 – D0.32 (Service corridor C)
- 01.032.L01.026 – D0.32 Mezzanine (RTP Manager office) - 3 desks
- 01.032.000.011A – F0.02 (Laboratory) - for storage of chemicals only
- 01.032.000.010A - F0.03 (Laboratory)
- 01.042.L04.079 – P5.41a (Metrology Clean room)
- 01.042.L04.081 – P5.41 (Gowning lobby)
- 01.030.000.E01 - Bulk storage tank (liquid nitrogen)
- 01.034.000.001A - Gas bottle storage D0.22 (shared with Engineering department)

Should any additional spaces become allocated to the RTP or be shared between RTP and the School of Engineering, this document shall be reviewed to ensure that roles and responsibilities are again clarified.



## Appendix 2 – Key Contact Details for the Departments and RTP

Names in bold – personnel acknowledging the document – documented via email response.

### Department

Contact Name	Role	Contact Number	Email Address
<b>Adrian Seymour</b>	Technical Services & Facilities Manager (SoE)	024 765 23902	<a href="mailto:Adrian.Seymour@warwick.ac.uk">Adrian.Seymour@warwick.ac.uk</a>
Justyna Ballard	Building and Facilities Assistant (SoE)	024 765 73913	<a href="mailto:J.Ballard.1@warwick.ac.uk">J.Ballard.1@warwick.ac.uk</a>
Amy Hamson	Director of Operations (SoE)	024 765 23131	<a href="mailto:A.Hamson@warwick.ac.uk">A.Hamson@warwick.ac.uk</a>
<b>Kevin Murphy</b>	Technical Services & Facilities Manager (Physics)	07824 541 152	<a href="mailto:Kevin.Murphy@warwick.ac.uk">Kevin.Murphy@warwick.ac.uk</a>
Monika Prokešová	Compliance Officer, H&S services	07824 541 196	<a href="mailto:M.Prokesova@warwick.ac.uk">M.Prokesova@warwick.ac.uk</a>

### RTP

Contact Name	Role	Contact Number	Email Address
<b>Sofia Bekou</b>	RTP Manager	024 765 28087	<a href="mailto:Sofia.Bekou@warwick.ac.uk">Sofia.Bekou@warwick.ac.uk</a>
<b>Ian Hancox</b>	RTP Director	024 761 50380	<a href="mailto:I.Hancox@warwick.ac.uk">I.Hancox@warwick.ac.uk</a>
<b>Arne Renz</b>	SoE Assistant Professor & Director of Nanofabrication RTP		<a href="mailto:Arne.Renz@warwick.ac.uk">Arne.Renz@warwick.ac.uk</a>
<b>Peter Gammon</b>	SoE Professor & Director of Nanofabrication RTP	024 765 23154	<a href="mailto:P.M.Gammon@warwick.ac.uk">P.M.Gammon@warwick.ac.uk</a>
Richard Jefferies	Semiconductor Process Engineer, RTP	024 765 73859	<a href="mailto:Richard.Jefferies@warwick.ac.uk">Richard.Jefferies@warwick.ac.uk</a>
Mark Giltrow	RTP Technician		<a href="mailto:Mark.Giltrow@warwick.ac.uk">Mark.Giltrow@warwick.ac.uk</a>



## Appendix 3 - Schedule Summary - Responsibilities between the Department and RTP

Host	School of Engineering	Comments
RTP	Nanofabrication	

### Compliance Area

First Aid / Emergency Management		
First Aiders	RTP / Department	The Department will have a number of First Aiders who would be available to the RTP in an emergency. Community Safety are also First Aiders.
First Aid Box and its replenishment	Department / RTP	The replenishment of first aid boxes will fall to a nominated representative within the department who manages the First Aid box. RTP to inform Technical Services Manager that first aid box was used.
Eye wash and other specific provisions.  Note that this could also include specific first aid response kits/equipment and associated training.	RTP	Any specific provisions required for supporting an emergency scenario relevant to the RTP will be the RTP's responsibility to install and replace any stocks that are used/past their use by date. RTP is responsible for regular flushing of eye wash stations where installed.
Spill Kit	RTP	The material will be replenished by the RTP by ordering the replacement on OPeRA. If there is anything specific to the RTP, which is required above and beyond what is already available to them, then relevant spill management materials shall be purchased by the RTP and located local to where the spillages could arise and replenished as and when required by the RTP.



Contractors		
Contractor's H&S validation	RTP	The RTP Manager will need to complete the H&S validation process as per the requirements on the <a href="#">Contractors</a> webpage for contractors engaged by RTP.
Contractor's visits (contractors managed via Estates)	Shared responsibility Department / RTP	Department to inform RTP of intended visits (where notified). RTP to manage access and to make space safe for any contractors requiring access their space(s).
Supply of local information and review of work RAMS	RTP	To supply H&S related information to the Department if requested. Will fall to RTP for their own arranged contractors.

Materials Acquisitions, Management and Waste		
Purchasing of hazardous materials (and OPeRA workflow)	RTP	RTP department provides Top-tiering for their requisitions.
Temporary Storage of Materials	Shared responsibility RTP / Department	RTP to ensure storage is suitable for materials coming into the Department/RTP. Department to temporarily store prior to RTP collection. Any specific storage requirements to be agreed between Engineering Stores and RTP before material arrives.
Chemical Inventory Management	RTP	The RTP will be responsible for maintaining NF RTP group inventory on LabCup, barcoding and appropriate storage arrangements are in place as per any other 'space owner'.



Waste Collection and Disposal	Shared responsibility RTP / Department	RTP for provision of relevant H&S information. Department for collection and disposal.
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Access Equipment (Ladders/stepladders)		
Periodic checks, e.g. ladder checks	RTP	The RTP staff will conduct these periodic checks on access equipment owned by RTP and keep the records.
Quarantining of failed items	RTP	RTP is responsible to take failed access equipment out of use and dispose.
Replacement of failed items	RTP	If an RTP asset, then any repair or replacement costs incurred will fall to the RTP.

Asset Tagging		
Asset Tagging of Items subject to Statutory Inspection/Test (pressure equipment, LEV, lifting equipment/accessories)	RTP	RTP to approach Estates Compliance / Department for Asset Tags relevant to them (see body of report for details).
Asset Tagging for other reasons (e.g. financial/research grant need)	Shared responsibility	Depending on who owns the asset.
Adding/removing/relocating items as above to statutory test register	RTP	RTP to utilise online reporting form to add, move or remove items owned by RTP as necessary (see body of report for details).



## Statutory Testing and Green 2 portal Reporting

Adding items to statutory testing register (pressure systems/vessels, lifting equipment/lifting accessories)	RTP	Any amendments to status and location of statutory asses to go via the Statutory Inspection Report Form ( <a href="#">SIRF</a> ).
Statutory testing (External contractors engaged by Estates (LEV) (PSSR/LOLER)	Shared responsibility Department / RTP	Estates will contact the Department to arrange the site visits. Department to inform RTP Manager when this work will be conducted.
Checking records in the Green 2 portal (equipment subject to LOLER/PSSR)	Department	DPOC has access. Reports can be provided to RTP Manager on request.

## Statutory consumables

Replacement of Regulators, Flashback Arresters, hoses, etc (upon expiry)	RTP	RTP will manage the inventory of statutory consumables. Cost to replace will fall to the RTP. Estates to be informed of changes to status via Statutory Inspection Report Form (SIRF).
Adding/Removing/Exchanging of gas cylinders	RTP	RTP will manage the inventory of gas cylinders on LabCup. Cost to replace gas cylinders will fall to RTP.
Adding/Removing Fire Extinguisher	RTP and Estates	Should the RTP work activity risk assessment warrant a change to the fire extinguishers supplied, then this should be discussed with the Fire Safety Adviser (Health and Safety Services) and if approved, arrangements made with Estates.

## LEV



LEV use, including pre-use checks and fault reporting	RTP	RTP Manager to be responsible for the training of individuals in the safe use of LEV, how to complete the pre-use checks, and for fault reporting. RTP Manager to also be responsible for ensuring that pre-use checks are being done.
LEV monthly checks	RTP	The anemometer readings must be recorded and any issues found must be reported to the RTP Manager (or their representative) for RTP's remediation.
Assurance that pre-use and monthly checks are being carried out	RTP	This will be backed up by inspections by Health and Safety Services.
Taking LEV out of use if failed any of the checks/tests <sup>1</sup>	RTP	RTP to be responsible also for any repairs required and for making these arrangements.
Taking LEV out of use following Estates contractor deeming it having failed its statutory test	RTP	RTP to ensure LEV is not used until such a time that the work to repair the LEV has been carried out.

## Portable Appliance Testing

<sup>1</sup> See also Statutory Testing Section



Completion of Portable Appliance Testing, coordination of work with external contractor and arranging access to all areas across the Department and RTP	Department / RTP	Organisation of PAT and cost sharing as agreed between Department and RTP.
Quarantining and seeking repair/replacement of any items that have failed their PAT (and which have a failure sticker applied)	RTP	RTP responsible for the management of their own assets which are subject to PAT, via correct WEEE disposal route with the cost to the RTP.

## Servicing/replacement of systems installed to a space

Hard wired/building fixed Gas systems	RTP	RTP Manager is responsible for arranging regular servicing of gas monitoring system installed in the D0.32 Clean room.
Portable oxygen depletion monitors	RTP as applicable	These would be considered an RTP asset. See body of report for record keeping details.
Other gas detection (portable)	RTP as applicable	These would be considered an RTP asset. See body of report for record keeping details.

## Legionella & Water Quality



Informing of requirements from LRA (Legionella Risk Assessment)	Estates / Department	Estates need to be informed of spaces occupied by RTP by the Department and information needs to get to those that may have to flush what are considered 'infrequently used' outlets from the Legionella Risk Assessment (LRA).
Flushing of little-used outlets	Department	All water outlets located inside spaces used by Nanofabrication RTP are regularly used. The emergency shower outside the D0.32 Clean room will stay on the Department water flushing regime.
Advising on changes to water usage	RTP	RTP to inform Estates of changes to water usage (e.g. usage dropping to less than once a week or outlet now used frequently so no weekly flushing necessary).
Informing Estates of changes required to infrastructure (request to alter the water system)	RTP Estates to conduct work	Changes to be agreed with Estates and Department. Changes to be conducted following relevant university procedures via Estates.

