

Livewell Southwest

**Maintenance Policy for Estates
(including Planned, Preventative & Reactive)**

Version No 1.3

Notice to staff using a paper copy of this guidance

The policies and procedures page of Intranet holds the most recent version of this guidance. Staff must ensure they are using the most recent guidance.

Author: Estates Compliance & Safety Manager

Asset Number: 5

Reader Information

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	<p>Systems</p> <ul style="list-style-type: none"> • 04-01: The Control of Legionella, hygiene, “safe” hot water, cold water and drinking water systems. The Stationery Office <p>DH.2007, Health Technical Memorandum 05: Fire Safety</p> <ul style="list-style-type: none"> • 05-01: Managing Healthcare Fire Safety • 05-02: Guidance to support functional provision for healthcare premises. The Stationery Office. <p>DH. 2007, Health Technical Memorandum 06: Electrical Services</p> <ul style="list-style-type: none"> • 06-01: Electrical supply and distribution • 06-02: Electric Safety Guidance for low voltage systems • 06-03: Electric Safety Guidance for high voltage systems. The Stationery Office <p>DH. 2007, Health Technical Memorandum 07: Environment and Sustainability</p> <ul style="list-style-type: none"> • 07-01: Safe Management of Healthcare Waste • 07-03: Transport Management and car parking: Best Practice Guidance The Stationery Office <p>DH. 2007, Health Technical Memorandum 08: Specialist Services Purpose</p> <ul style="list-style-type: none"> • 08-01: Acoustics. The Stationery Office <p>DTI. 2004, Site Waste Management Plans, Guidance for Construction Contractors and Clients, Voluntary Code of Practice. HMSO</p> <ul style="list-style-type: none"> • WEEE Regulations
Associated documentation	<ul style="list-style-type: none"> • Risk Management Strategy • Health and Safety Policy • Incident Reporting & Investigation Policy & Procedure • Lone Working Policy • Security Policy • Violence & Aggression Management Policy • Electrical Safety Policy • Fire Safety Policy • Tobacco Policy • Infection Control Policy • Medical Gas Policy • Asbestos Management Policy • Working at Heights Policy • Control of Contractors Policy
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Author contact details	By post: Local Care Centre Mount Gould Hospital, 200 Mount Gould Road, Plymouth, Devon, PL4 7PY. Tel: 0845 155 8085, Fax: 01752 272522 (LCC Reception).

Document Review History

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V0.1	New policy	Mar 2011	Estates Compliance & Safety Manager	New policy
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1.1	Extended	November 2013	Estates Manager	Extended no changes
1.2	Extended	October 2014	Governance & Customer Care Manager	Extended no changes
1.3	Updated	January 2016	Deputy Head of Estates	Reformatted to LSW template. Reviewed and updated to reflect current structure and responsibilities.

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Maintenance Policy for Estates (including Planned, Preventative and Reactive)

1 Introduction

- 1.1 This document sets out LSW's policy for managing estates maintenance. Through this policy, LSW aspires to provide a safe, high quality healthcare environment for its patients, visitors and staff.
- 1.2 This is partially achieved by ensuring LSW premises are maintained to a high standard, comply with statutory and mandatory requirements and best practice, as set out in Health Technical Memorandums (HTM's) and other Department of Health guidance.
- 1.3 Maintenance of the estate within LSW is managed by the Estates Department through a programme of planned, preventative and reactive measures undertaken by in-house estates staff and contractors.
- 1.4 The policy applies to all properties owned and maintained by LSW. Properties leased, rented, or occupied under lease or other occupancy agreement where LSW is responsible for maintenance to be maintained in accordance with this policy.
- 1.5 Estates maintenance services include electrical and mechanical services, medical gases, air conditioning / air handling, plumbing, joinery, building, painting / decorating, security and fire alarms, flooring, portable appliances, etc.

2 Purpose

- 2.1 The purpose of this policy is to set out details of LSW's approach to Estates maintenance and ensure that all the properties operated and maintained by LSW are maintained and operated safely, and kept in good condition in order to:
 - a) contribute to the overall control of infection in line with the IPCT Policy;
 - b) maintain the current value of operational properties, to minimise the breakdown or failure of components and to extend the economic life of all assets as far as possible;
 - c) maintain the health, comfort and environment for all patients, visitors and staff by ensuring weather tightness, adequate lighting, heating and ventilation and a high standard of maintenance to all supporting facilities;
 - d) improve the energy efficiency and running costs of the buildings;

- e) ensure LSW obtains cost effective and professional maintenance services, which make best use of available funds;
- f) review revenue and capital funding needs annually and advise on funding shortfalls or excesses in relation to risks, resources and required standards.

3 Definitions

- 3.1 **IPCT** – Infection Prevention and Control Team.
- 3.2 **HCAI's** – Healthcare Associated Infections.
- 3.3 **SLA's** – Service Level Agreement.
- 3.4 **Maintenance** is the combination of all the 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. Given due consideration to viability and economic financial responsibilities.
- 3.5 **Reactive Maintenance (Breakdown)** is a repair service requested normally by the user department. When faults are reported they are allocated a priority from urgent to routine, depending on the nature of the fault. The priority will generally attract a pre-set response time.
- 3.6 **Planned Preventative Maintenance (PPM)** is the routine inspection and/or servicing of equipment or the planned repair or replacement of components, elements or systems, on a time or hours run basis (ie lubrication, fire alarm testing, filter changes, etc).
 - 3.6.1 To assist with PPM, **Service Contracts** are invoked for maintenance carried out by an external contractor at pre-determined intervals and intended to reduce the probability of failure, breakdown or the performance degradation of an asset.
- 3.7 **Irregular or cyclical maintenance** is work carried out in accordance with planned recurrent and often multi-year cycles (i.e. redecoration, flooring renewals, etc).
- 3.8 **Backlog maintenance** is a term which covers situations where there is long-standing outstanding maintenance which can only be tackled by larger investments projects. These types of maintenance issues are identified through risk assessments, service reports, backlog surveys and are incorporated into the organisation's Capital Programme where funding allows.
- 3.9 **Minor Works** is a term which covers small items of estates works involving adaptation, alteration and new installations which are often required to support changes in procedures and work practices (i.e. additional sockets, shelving, etc).

4 Duties & responsibilities

- 4.1 The **Chief Executive** is ultimately responsible for the content of all policies, implementation and review.
- 4.2 The **Director of Finance** is accountable for the overall provision of a compliant, effective and efficient estates service. This position fulfils the role of Designated Person (DP) for LSW and provides an informed position at board level and whose duties include:
- 4.2.1 ensuring the policy is developed, implemented, monitored and reviewed accordingly;
 - 4.2.2 managing Estates staff and resources applied to Estates maintenance;
 - 4.2.3 appropriately managing LSW's maintenance Service Level Agreements (SLAs) and any LIFT service providers to ensure appropriate maintenance regimes are planned and delivered;
 - 4.2.4 analysing data and information from various sources to ensure customer satisfaction, cost effectiveness and efficiency of the service;
 - 4.2.5 establishing a suitable mix of SLAs, contracts and directly employed Estates staff to deliver the service.
- 4.3 The **Head of Estates** is responsible for ensuring that estates maintenance services are carried out in line with this policy. This position may fulfil the role of Authorised Person (AP) for some specialist engineering services. Duties include:
- 4.3.1 ensuring LSW maintenance policies and procedures are implemented across all premises / buildings for which LSW are responsible;
 - 4.3.2 ensuring that appropriate reactive, planned and preventative maintenance arrangements are put in place to protect LSW's interests and assets;
 - 4.3.3 regularly reviewing the condition of LSW buildings services and infrastructure to feed into investment programmes and discussions on the maintenance investment needed to maintain the estate;
 - 4.3.4 operationally managing all estates services (ie building, engineering, equipment, specialist maintenance and grounds and gardens);
 - 4.3.5 annual reviewing of maintenance activities.
- 4.4 An **Estates Helpdesk** is available to receive and log maintenance requests from across LSW and administrate requests for minor works. Risks associated with maintenance will be managed in the following order of priority:

- 4.4.1 Maintenance in respect of health and safety issues;
 - 4.4.2 Statutory maintenance requirements; security, fire, gas, electrical and access systems;
 - 4.4.3 Structural maintenance for all LSW owned building assets;
 - 4.4.4 Building fabric maintenance for all LSW operated building assets except unoccupied assets, assets identified for disposal and ancillary assets;
 - 4.4.5 Maintenance of unoccupied assets, assets identified for disposal and ancillary assets.
- 4.5 Estates Project Managers** manage general estates projects and LSW's Capital Programme and, in so doing, ensures that:
- 4.5.1 all new installations meet the latest legal and technical standards;
 - 4.5.2 the maintenance team have appropriate input to the design and maintainability of all new installations;
 - 4.5.3 all Contractors, Sub-Contractors and/or DEL work to comprehensive safe systems of work and that operations and maintenance manuals are handed over on completion of schemes;
 - 4.5.4 appropriate training and familiarisation is provided to in-house maintenance teams upon scheme handover.
- 4.6 The **Deputy Head of Estates** is the Designated Officer for all electrical and mechanical engineering services. This position fulfils the role of Authorised Person (AP) for specialist engineering services and ensures that all electrical and mechanical services are safe and available for their intended use and that LSW complies with its statutory obligations.
- 4.7 The **Estates Officer/Planned Maintenance Supervisor** is responsible for ensuring all PPM tasks are appropriately scheduled. This person is also responsible for monitoring completion of tasks and raising reactive works following PPM tasks and for notifying relevant people of any issues arising from PPM tasks.
- 4.8 The **Maintenance Manager** is responsible for ensuring that all maintenance tasks are prioritised and allocated appropriately and for managing the DEL to ensure work is delivered to the required standard within time and cost restraints and for managing work set to LSW approved contractors. This position fulfils the role of Authorised Person (AP) for some specialist engineering services.
- 4.9 The **Maintenance Chargehand** is responsible for assisting the Maintenance Manager ensuring that maintenance work is prioritise and completed

effectively and for deputising for the Maintenance Manager in their absence. The Maintenance Chargehand will provide support to other team members as necessary to assist in the maintenance tasks. This position fulfils the role of Authorised Person (AP) for some specialist engineering services.

- 4.10 The **Trades Person** provides skilled installation and/or maintenance of specialist services and will be directed, appointed, or authorised to work (if a contractor), by a Supervisor or Authorised Person (AP) dependant on the work involved. Maintenance Assistants provide support to trade persons with direction from more senior grades of staff/contractors will also work in accordance with all relevant LSW policies.
- 4.11 **Authorising Engineers (AE)** act as external assessor and is appointed with a brief to provide services in accordance with Health Technical Memorandum guidance. The AE will make recommendations for the appointment of Authorised Persons, monitor the performance of the service, and provide an annual audit report.
- 4.12 **Authorised Persons** have the key operational responsibility for specialist engineering services. The person will be qualified and sufficiently experienced and skilled to fully operate the specialist service. They will be nominated by the AE and appointed by the Chief Executive, be able to demonstrate:
- a) their application through familiarisation with the system and attendance at an appropriate professional course;
 - b) a level of experience;
 - c) and evidence of knowledge and skills.

Authorised Persons will ensure work on specialist systems/services is carried out in accordance with their relevant policies.

- 4.13 The **Infection Control & Prevention Team** shall provide input for all matters relating to the hospital environment, maintenance of hospital buildings and engineering systems and to work with the Estates Department including:
- 4.13.1 provide education for maintenance staff and management on infection control and reduction in HCAI's;
 - 4.13.2 provide guidance and support when advice on controlling the environment is required;
 - 4.13.3 provide advice on risk assessments for controlling the environment decisions;
 - 4.13.4 identify priorities for action.

- 4.14 All LSW **employees** are responsible for:
 - 4.14.1 reporting maintenance defects to the Estates Helpdesk either directly or via their supervisor;
 - 4.14.2 ensuring all estates issues are logged in the Estates Maintenance Log Bog for their team/departments;
 - 4.14.3 escalate any unresolved issues through the Estates management arrangements / structure;
 - 4.14.4 responsible for reporting all incidents (including near misses) in line with LSW's Incident Reporting & Investigation Policy and Procedure.

5 Service hours & providers

- 5.1 LSW provides maintenance cover 365 days per annum, 24 hours per day through a range of in-house and contracted-out activities for all properties, with the exception of:
 - 5.1.1 Mount Gould Local Care Centre – Kiers Facility Services;
 - 5.1.2 Ernesettle Green Surgery – Kier Facility Services;
 - 5.1.3 Wycliffe Surgery – Kier Facility Services;
 - 5.1.4 CAHMS – Kier Facility Services.
- 5.2 The service provided by LSW Estates Department Monday to Thursday 08:30 to 16:30 hours and Friday 08:30 to 16:00 hours. The Estates Helpdesk operates during these core hours to receive requests for maintenance and minor works.
- 5.3 The Estates Helpdesk telephone number is 01752 435100 (internal number 35100).
- 5.4 Both LSW Estates Department and Kiers operate an on-call service for any out-of-hours issues. Out-of-hours contact details are as follows:
 - a) LSW Estates Department 0845 155 8100;
 - b) Kier Facility Services 0845 643 2066.

6 Maintenance requirements

- 6.1 Each maintenance category shall be based on relevant legislation, regulations, technical guidance, HTM recommendations, codes of practice, risk assessment and good practice to ensure the efficient and effective delivery of maintenance services.
- 6.2 Records and drawings shall be kept up to date and records completed for all maintenance actions. At the handover of a new development the Head of Estates shall ensure that all statutory as-fitted information and O&M manuals

are received with log books implemented for new systems.

- 6.3 An Asset Register shall be compiled and updated for all sites, buildings, levels, departments, major engineering plant, systems and equipment via a software system to enable lifecycle costs to be recorded.
- 6.4 The Maintenance Programme shall be kept up to date for the management of PPM by use of LSW software PPM system. The Maintenance Plan shall be reviewed regularly and matched to LSW activities, availability of labour, contractors or resources.
- 6.5 Maintenance work specifications and frequencies shall be established for all tasks with reference to health and safety precautions, permits to work and risk assessments. Frequencies shall be varied as necessary based on relevant risk assessment, professional judgement and local circumstances.
- 6.6 Service contract maintenance work shall be carried out by external contractors due to the specialist nature of work or value for money. This category incorporates both planned and reactive maintenance and shall be reviewed after a maximum 3 years and on a competitive basis.
- 6.7 Procurement of Maintenance - maintenance work shall be carried out by Directly Employed Labour (DEL) who have appropriate training, qualifications and ability to undertake the specific tasks required. Contractors will be selected where necessary based on technical suitability, safety, training of staff and accreditation where appropriate.
- 6.8 Maintenance Funding - maintenance shall be funded from the Estates revenue budget with separate account codes established for all locations. Monthly reports shall be provided to assess trends, accruals, commitment and expenditure against budget. The budget shall be reviewed monthly and set annually to include cost improvement programme targets and the reporting of cost pressures.

7 Maintenance types

7.1 Maintenance is divided into three types:

- a) Reactive Maintenance (breakdown);
- b) Planned Preventative Maintenance (PPM);
- c) Irregular or cyclical Maintenance.

7.1.1 **Reactive Maintenance (breakdown)** services consisting of requests, faults, breakdowns, defects, etc, shall be provided with priorities. The implications of failure range from loss of facility to consequential damage of buildings, engineering systems and equipment. In some circumstances the failure could be detrimental to the health, safety, and welfare of patients or staff. Whilst it is accepted that it is impossible to totally eliminate reactive maintenance it nevertheless should be reduced to acceptable levels via an adequate PPM

system and an investment programme (backlog);

7.1.2 **Planned Preventative Maintenance (PPM)** - this has been adopted by LSW as being the best approach for providing an efficient and effective maintenance service in order to mitigate the risks associated with building or engineering system failure. PPM shall include both statutory and recommended or best practice categories and reduces the demand for reactive maintenance;

7.1.3 **Irregular or Cyclical Maintenance** is work carried out in accordance with planned recurrent and often multi-year cycles. This maintenance is dependent on additional funding.

7.2 **Minor Works** are subject to a separate process and will only be taken as funding allows. Requests must be made to the Estates Department via the Estates Helpline.

8 Training implications

8.1 Staff training shall be reviewed annually in conjunction with annual appraisals with a training plan produced. Training records shall be kept up to date for all staff. Any external training will be notified to Workforce Development in order to be placed on the Electronic Staff Record (ESR).

9 Monitoring compliance

9.1 The Estates Department will:

9.1.1 Regularly monitor the service for efficiency and effectiveness;

9.1.2 Undertake an ongoing review of the SLA and contract arrangements in place to take account of changes in assets and legislation, and to ensure equipment failures shape future maintenance arrangements;

9.1.3 Routinely check requirements for safe working systems/practices, compliance with departmental procedures and statutory compliance.

All policies are required to be electronically signed by the Lead Director. Proof of the electronic signature is stored in the policies database.

The Lead Director approves this document and any attached appendices. For operational policies this will be the Locality Manager.

The Executive signature is subject to the understanding that the policy owner has followed the organisation process for policy Ratification.

Signed: Director of Finance

Date: 20th January 2016

Appendix A

Requests for reactive maintenance

Each building maintained by the Estates Department has a maintenance log book, in which all requests for reactive/breakdown maintenance are recorded. This log book will be managed by a responsible person who records, monitors and updates all requests and on-going works. **Requests will only be accepted at the Help Desk by that responsible person** or, in their absence, by a nominated deputy.

All calls to the Help Desk will be issued with a call reference number and this is to be recorded in the maintenance log book. This call reference number will be required in order to identify the original call and enable a progress update to be given, when requested.

For those buildings with multiple services, it is essential that clearly defined lines of responsibility are agreed between the occupants so as to avoid any duplication in calls to the Help Desk.

Defects that present an immediate and obvious risk to patient, visitor or staff safety can be reported directly to the Help Desk, by any person and then subsequently recorded in the maintenance log book (including the call reference number).

Reactive Maintenance Flow Chart

