



Science and  
Technology  
Facilities Council

# **MANAGEMENT OF** **CONTRACTORS**

STFC Safety Code No 15

Rev. 2.2, Issued January 2020

## Revisions

1	Initial Launch	March 2008
1.1	Amendment to audit checklist	May 2013
1.2	Minor change to Appendix 5	Feb 2014
2.0	Overhaul to refine CSO role and improved guidance on contract SHE management consistent with new Contractor Management SHE training course.	June 2017
2.1	Minor updates to reflect the launch of SHE Assure	October 2018
2.2	Minor changes to remove overlap with CDM code	January 2020

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# Control of Contractors

## 1. PURPOSE

The STFC relies to a significant degree on contractors, working on our behalf, to run and operate sites and facilities. Their activities range from setting up scaffolding through to the operation of canteen facilities and the commissioning and maintenance of specialist scientific equipment.

The management of contractor safety represents a significant challenge for STFC management and is a significant contributor to STFC safety performance.

This code sets out STFC's health and safety management arrangements for work undertaken by contractors and other non-staff workers on STFC's sites.

The health and safety of contractors working on STFC sites is the joint responsibility of the contractor's employer and the STFC. The STFC has specific responsibilities to co-operate with the external employer, to ensure that contractors are provided with sufficient information to enable them to conduct their roles safely on our sites and to provide adequate training and oversight.

## 2. SCOPE

This SHE Code is applicable to the activities of all non STFC employees working at STFC sites, referred to in this SHE Code as 'Contractors', see 3.2.

The duties described are not limited to contractors working under formal paid contracts which have been through a tender or selection process, see 3.2.

This code **DOES NOT** require full Method Statements and Risk Assessments for all contractors. Managers and Supervisors of contractors should consider the hazards & risks of work planned and choose proportionate and appropriate systems to control the work planned.

Given the wide range and scope of contracted works at STFC the aim of this SHE Code is to establish a flexible framework for managing contractor-related safety, health and environmental risks on any given project/job/task. This includes the co-ordination of two or more independent contractors working together on a common project/job/task or working in the vicinity of each other on separate jobs.

This code **does not** cover contractors undertaking construction work. This is covered by SHE Code 13: Construction, Design and Management.

## 3. DEFINITIONS

### **3.1 Contracted work**

The jobs, tasks, projects, activities undertaken by contractors on STFC sites.

### **3.2 Contractor**

Any organisation/person(s) that the STFC engages to undertake work who is not an employee of the STFC irrespective of whether they are paid or not by the STFC. Work undertaken by a contractor includes, but is not limited to:

- repair, clean or service equipment;
- commission or de-commission equipment or plant;
- install, inspect or test equipment or plant;
- gardens and grounds maintenance;
- catering;
- cleaning;
- design consultancy;
- surveying;
- software development;
- IT support; and
- site investigations.

### **3.3 Term Contractor**

A specialist contractor typically employed across large areas of the STFC Estate normally for a period of between 1 and 5 years undertaking a range of works directly or through sub-contracted third parties.

### **3.4 Staff Letting Contracts (SLC)**

An STFC employee, or their representative, who responsible for defining the contracted works and appointing the contractor. Where the contractor will be paid this may be through a formal contract tender process. Staff letting contracts should define the SHE requirements of any contract explicitly as these will not be included automatically where centralised procurement service providers are employed.

### **3.5 Contract Supervising Officer (CSO)**

STFC employee who has a responsibility for ensuring that the contractor undertakes their work in accordance with the conditions of the contract or other agreed instructions. The CSO may be any competent person employed by, or acting on behalf of the STFC. The role of SLC and CSO may be undertaken by the same person.

## **4. RESPONSIBILITIES**

#### **4.1 Directors shall:**

4.1.1 for contractors working in their Departments or physical areas for which they are responsible ensure that there is clarity of responsibility for the roles of Staff Letting Contracts and Contractor Supervising Officers, especially where one or both of these roles are provided by other Departments.

#### **4.2 Staff Letting Contracts (SLC) shall ensure that:**

4.2.1 all pre-contract information includes sufficient information about the SHE implications of the work along with any constraints and mandatory requirements that will apply, including STFC SHE Codes, see Appendix 8.

4.2.2 all relevant SHE information and requirements relating to the work are included in tender documentation and/or communicated to framework suppliers.

4.2.3 where sub-contracting is permitted, the contractor has appropriate arrangements for selecting and managing their sub-contractors.

4.2.4 the need for expert SHE advice is identified at the planning stage, for example advice on electrical, fire safety, pressure, radiation, bio-safety, waste, pollution etc.

4.2.5 a competent Contract Supervising Officer is appointed for all contract work within their area of responsibility with sufficient time and resources to undertake these duties effectively. Training requirements are detailed in Appendix 1.

4.2.6 only competent contractors are engaged to carry out work for the STFC. Appendix 2 contains a questionnaire that may be used to assist in assessing competence. Third party contractor competence schemes can be employed where relevant to the type of work being undertaken, for example Publically Available Specification 91 (PAS91) prequalification questionnaires for construction related procurement includes assessment of a suppliers' health and safety competence.

4.2.7 the specific/detailed SHE requirements are agreed with the appointed contractor as part of the planning and preparation phase of the contracted works. This is to be done in conjunction with the Contract Supervising Officer (CSO) and other relevant parties as necessary and includes, but is not limited to aspects such as:

- Risk assessments;
- Method statements;
- Welfare and first aid provision on STFC sites;
- Induction and training requirements;
- Supervision arrangements; and

- Waste management arrangements.

4.2.8 oversight of the contract and its delivery is maintained, ensuring that the agreed Safety, Health and Environmental management arrangements are in place, working effectively and that the Contract Supervising Officer duties are being carried out.

4.2.9 the contractor's SHE performance, including any accumulated radiation doses, is reviewed on completion of the work, or periodically for term contractors, to identify any learning points

4.2.10 Any significant SHE performance issues arising from 4.3.10, 4.3.11 and 4.3.13 are communicated to STFC's procurement service provider to assist with the evaluation of future tenders or contract renewal requests.

### **4.3 Contract Supervising Officer (CSO) shall ensure that:**

4.3.1 the SLC is assisted during the detailed planning/preparation stage of the contracted works to agree the SHE requirements with the appointed contractor, see Appendix 8.

4.3.2 the effective coordination of all contracted work under their control with the relevant parties on site who might be directly affected by it. Where work planned is within a specific Department or Facility close communication and agreement of those responsible for the work area will be required to ensure local authorisation and inductions are completed and local working arrangements understood.

4.3.3 the risks arising from the interface between the contractor's work and STFC's infrastructure and operations are identified and properly controlled.

4.3.4 suitable assurance is obtained from the contractor that the people who will actually be doing the work have the necessary competence prior to the work commencing. This may include certificates of competency, membership of professional bodies and/or proof of training.

4.3.5 all contracted and sub-contracted personnel receive an appropriate SHE induction before they are permitted to work on site (see Appendix 3).

4.3.6 contractors working on their behalf are made aware of the site arrangements and standards for SHE management, see relevant site "Contractor SHE Essentials" handbook Appendix 4.

4.3.7 contractors are made aware of any specific hazards that may affect the safety of their work for example, but not limited to, ionising radiation, asbestos, permits to work etc. see Contract Supervising Officer Checklist, see Appendix 3.

4.3.8 where sub-contracting is permitted, verify that contractors are engaging safe, competent sub-contractors and managing their activities on site to the

required standard and in accordance with contractual conditions and STFC SHE Codes.

- 4.3.9 that all risk assessments and any method statements agreed and understood prior to work commencing are still valid and that these are adhered to by the contractors during work, see Appendix 5. The checklist in Appendix 3 will help ensure that all these issues have been addressed. The standard expected of risk assessment employed in the STFC can be checked using the checklist in SHE code 6: Risk Management, Appendix 3.
- 4.3.10 through the routine and periodic assessment of contractors during the course of their work that they comply with agreed method statements and STFC SHE codes and standards.
- 4.3.11 in the case of Term Contractors, that the documentation provided and checked as part of the tender exercise remains valid and is routinely monitored throughout the period of the contract.
- 4.3.12 that clear and effective arrangements are in place for quickly stopping any contracted work if it realistically poses a risk of serious and imminent danger to anyone on site (including the contractor's staff and/or their sub-contractors).
- 4.3.13 all SHE incidents involving contractors under their control are reported via STFC's SHE incident reporting system and investigated in accordance with, SHE Code 5, Incident Reporting and Investigation.
- 4.3.14 any SHE issues or concerns that they are unable to resolve are rapidly brought to the attention of the SLC.
- 4.3.15 undertake Contractor SHE Management training defined detailed in Appendix 1, where the work of contractors employed is typical of office based work this training is recommended but not mandatory.

#### **4.4 Contractors shall:**

- 4.4.1 Provide all requested SHE information during the selection/tender process.
- 4.4.2 After selection, collaborate fully with the Staff Letting Contracts (SLC) and the Contract Supervising Officer (CSO) in planning all SHE aspects of the work including, but not limited to:
- Risk assessments;
  - Method statements;
  - Welfare and first aid provision on STFC sites;
  - Induction and training requirements;
  - Supervision arrangements; and
  - Waste management arrangements.



- 4.4.3 Conform to all STFC SHE codes, procedures and to the guidance given in the relevant site “SHE Essentials for contractors” handbook, see Appendix 4.
- 4.4.4 Carry out work in accordance with the Risk Assessments and Method Statements agreed with STFC.
- 4.4.5 Raise any concerns with regard to their work and its safety with their STFC CSO.
- 4.4.6 Report all injuries, near misses and environmental incidents to their STFC CSO.
- 4.4.7 For all work involving radiation hazards seek advice of their Radiation Protection Advisor (RPA) or Radioactive Waste Advisor (RWA) [if they have one] and the STFC site’s RPA or RWA regarding the proposed work and as appropriate the need for designation of contractor staff as radiation classified persons and how classification can be achieved.
- 4.4.8 For work involving radiation hazards, unclassified contractor employees may operate under a Written System of Work detailing specific procedures and controls to ensure that accumulated doses are managed to ALARP, see STFC SHE Code 29, Appendix 6.
- 4.4.9 For employees working as classified or under a System of Work must ensure that their dose histories are available for the STFC Contract Supervising Officer and STFC site RPA to determine whether the relevant dose limits are likely to be exceeded and thus allow a contract to be made for the work.

## Appendix 1 SHE Training Requirements

Role	Initial Training	Refresher	Frequency	Commentary
Staff Letting Contracts (SLC)	SLC training should be considered by their line managers dependent on the nature and scale of the contracts let. Those with significant H&S hazards should attend the STFC Contractor SHE Management course, 1 day.		5 years	SLCs will require general training in the procurement processes operated by the STFC's centralised procurement provider. This will not address the SHE aspects of contract letting.
Contract Supervising Officer (CSO)	STFC Contractor SHE Management course, 1 day.	STFC Contractor SHE Management course, 1 day.	5 years	
Contractors	Contractor SHE induction requirements defined in SHE Code 10: SHE Training Site and work specific training requirements defined by the CSO			

## Appendix 2 Contractor Selection SHE Checklist

This checklist should be employed by those selecting contractors to gain assurance as to the competence of prospective contractors to manage SHE matters effectively.

**Name of organisation:** .....

**Address:** .....

.....

**Contact for further information:**.....

**E-mail:** ..... **Tel no:** .....

### General policy

- 1 Can they provide a copy of their Health and Safety Policy (only applicable to companies with 5 or more employees) or Environment policy?
- 2 Can they provide an outline of their organisational structure for SHE management? who is responsible for SHE matters?
- 3 Can they provide copies of their public & employers liability insurance certificate?
- 4 Can they provide 3 year summary SHE performance in relation to company accidents, injuries, environmental incidents and dangerous occurrences?
- 5 Can they provide details of any letters of contravention, enforcement or prohibition notices, or prosecution(s) undertaken against their company or individuals employed by their company for breaches of SHE legislation within the past 5 years, and a summary of actions taken as a result?
- 6 For work involving radiation can they provide current radiation exposure records of employees who will carry out the work, and the name/contact details of their Radiation Protection Advisor (RPA) or Radioactive Waste Advisor (RWA)?

### Organisation

- 7 Can they provide details of SHE training programmes undertaken by their employees: courses, providers and dates?
- 8 Can they provide the names and qualifications of SHE advisers, internal staff or external consultants, used by their organisation?
- 9 Can they outline how they maintain their SHE management systems in the light of developing SHE legislation and industry good practice?
- 10 Are employee H&S (Trade Union) representatives appointed?
- 11 Do they have a H&S committee for consultation?

### Planning and monitoring

- 12 Does the contractor undertake post-contract SHE reviews?
- 13 How does the contractor co-ordinate the sharing of information/SHE information between:
  - Contractor and Client
  - Contractor and Sub-contractors?
- 14 How does the contractor monitor the competence of staff and sub-contractors to undertake work proposed?

### Appendix 3 Contract Supervising Officer SHE Checklist and Contract Signoff

COMPANY NAME .....

CONTRACT TITLE .....

#### PRIOR TO APPROVAL

- Contractor Pre-Selection SHE checklist completed
- Risk Assessment for work received and checked
- Method Statement for work received and checked
- STFC related risks provided to the Contractor
- Safety management and supervision arrangements agreed
- Contractor's staff welfare and first aid arrangements agreed

#### ON FIRST ARRIVAL AT SITE

- Induction video viewed and/or induction information provided
- All risk assessments and management arrangements still relevant
- 'STFC Information to Contractors' provided
- Contractors are aware of relevant STFC SHE codes for work planned
- Check relevant contractor licences to undertake work planned
- Check training/competence of contractors to undertake work

STFC Contract Supervising Officer ..... Date .....

#### PRIOR TO COMMENCING WORK ON SITE

- Discuss planned work
- Discuss Local/Site Risks & Hazards
- Ensure contractor staff have read and understood Risk Assessment(s)
- Ensure contractor staff have read and understood Method Statement(s)
- Discuss Local/Site Emergency Procedures – fire, medical, radiation
- Discuss Local/Site Alarm Systems
- Discuss STFC Accident, injury and Near Miss Reporting requirements
- Discuss Local/Site welfare (parking; toilets; wash room; restaurant ...) & first aid
- Discuss Environmental implications of work, responsibility for waste

Contractor's Site Manager/Supervisor ..... Date .....

## **Appendix 4 STFC Contractor SHE Essentials**

*Link to RAL and DL SHE Essentials for Contractors booklet.*

## Appendix 5 Risk Assessments and Method Statements

### 1 General

STFC must ensure that safe systems of work are provided for all tasks. Generally this involves an analysis of the task and associated hazards, **a risk assessment** and, where the risks are significant, **a method statement** which indicates how the work is to be organised and hazards controlled to minimise the risks.

Areas for consideration in a safe system of work should include:

#### People:

- competency of contractors;
- the work activity being carried out;
- the duration and timing of the work;
- proximity of other people in the area;
- lone working; and
- physical status of the workers such as pregnancy or vertigo sufferers;

#### Equipment:

- suitability of equipment for task including guarding;
- effect of equipment on people or environment (noise/vibration etc.);
- the equipment to be used and its inspection and maintenance; and
- control of possible falling objects or unstable equipment;

#### Materials:

- condition and stability of work surfaces such as fragile materials, slippery surfaces, hot, cold, sharp, heavy etc.; and
- disposal of wastes including any radioactive materials:
  - How will they dispose of waste (our skips or will they have their own contractor);
  - Who will transfer their waste (are they registered as a waste carrier with EA/NRW/SEPA)
  - Can they provide evidence of waste contractor, waste carriers licenses etc.
  - How do they manage hazardous wastes
  - Will they segregate waste (general and recyclables)

#### Environment:

- the location in relation to the presence of hazards such as open excavations, overhead services, radiation etc;
- the working environment with regard to weather, wind or lighting;
- safe and appropriate control of hazardous substances (e.g. dusts, chemicals, etc.);
- safe means of access and egress;

- frequency of access;
- prevention of access by unauthorised persons; and
- separation of work from other people in the area.

A typical **method statement** might contain the following:

**Description of the work:**

- why is the work being carried out;
- the scope of the work, how long it will take etc.;
- the resource required to carry out the task;
- the sequence of operations necessary;
- controls required (e.g. PPE, LEV, atmosphere tests, etc.); and
- completion criteria.

**Location of the work:**

- where on site the work is to be carried out;
- details of how the work might affect or be affected by other work in the area and how that will be controlled (e.g. warning signs, fencing etc.);
- what preparation work needs to be carried out; and
- location of any signage.

**Access/Egress**

- give details of any special access or egress requirements

**Emergency Procedures:**

- details of fire and first aid procedures;
- how to deal with possible spills;
- reporting of incidents and near misses; and
- contact details of personnel involved.

In assessing documentation from contractors, managers may need expert advice.

**Template Method statement**

STFC provides a template method statement which contractors can use

**2 Key Related STFC SHE Documentation**

STFC SHE Code 5, Incident Reporting and Investigation

STFC SHE Code 6, Risk Management .

STFC She Code 13, CDM .

### 3 References and further reading

Health and Safety  
Executive

Managing contractors – a guide for employers

Health and Safety  
Executive

Use of Contractors – a Joint Responsibility (INDG368)

All STFC SHE documentation can be found on the STFC SHE website.

The STFC has also established free access to a source of HSE guidance and documentation as well as British Standards technical documents – Info4Education



## Appendix 6 Audit Checklist

Reference		Rating	Comments
1 (Section 4.2.2) (Appendix 2)	As part of work tendering have successful contractors completed a 'Contractor selection SHE checklist'?		
2 (Section 4.2.1)	Have CSOs been assigned to all contractor operations and have they been suitably trained?		
3 (Section 4.3.6)	Have CSOs undertaken routine and periodic inspection of contractor operations		
4 (Section 4.3.1) (Section 4.4.3)	Evidence that relevant inductions and documentation has been provided for contractors prior to work commencing and has been signed for.		
5 (Section 4.3.4)	Has the competence of contractors been checked?		
6 (Section 4.3.2)	Evidence that contractors have been made aware of local hazards?		
7 (Section 4.3.2)	Evidence that the CSO has actively co-ordinated the works between more than one contractor organisation.		
8 (Section 4.3.3)	Evidence that the CSO has managed the interface between contractors' works and on-going STFC activities.		
9 (Section 4.3.5)	Have contractors provided suitable risk assessments and method statements?		
10 (Section 4.3.8) (Section 4.4.4)	Have contractors been reporting incidents to CSO?		
11 (Section 4.3.2)	Have all contractors signed the 'Contract supervising officer's checklist'		
12 (Section 4.3.3)	Have all contractors received the 'STFC SHE Essentials for Contractors' handbook		
13 (Section 4.2.4)	Has contractor SHE performance formed part of the contract review on completion?		

## Appendix 7 Document retention

Records established	Minimum retention period	Responsible record keeper	Location of records	Comments/ Justification
Pre-contract contractor provided SHE information	Duration of the contract and its successful conclusion	Contract Letting/ Supervising Officer	Local record systems	If contract unsuccessful due to SHE incident or contract overrun, cost or quality such records should be retained pending conclusion.
Contract tender documentation				
Contractor and sub-contractor Risk assessment and Method Statements (RAMS)				

## Appendix 8 Contractor management action timeline

### Activities BEFORE the Contract starts

	Initial Planning	Selection	Detailed Planning
<b>Staff Letting Contracts (SLC)</b>	<ul style="list-style-type: none"> <li>• Prepare job/work description and identify key Safety, Health and Environmental aspects.</li> <li>• Determine need for expert STFC SHE input (e.g. electrical, fire safety, pressure, radiation, biosafety, waste, pollution).</li> <li>• Consult site estates teams if the job/work impacts building infrastructure or site services</li> <li>• Consider if the job comes under CDM (get advice).</li> <li>• Consider which STFC SHE Codes need to accompany the tender – <b>REMEMBER</b> SHE website/SHE codes are visible on public web except for radiation &amp; biosafety.</li> <li>• Prepare job/work specification with initial safety requirements to send out with tender.</li> <li>• <b>NOTE: STFC procurement service will not add any SHE requirements to your tender – <u>this must be specified explicitly by SLC.</u></b></li> </ul>	<ul style="list-style-type: none"> <li>• Obtain and review detailed SHE information from each tenderer.</li> <li>• Make full use of STFC Code 15 Contractor Management Appendix 2, and other relevant SHE Codes.</li> <li>• Select on the basis of: <ul style="list-style-type: none"> <li>○ technical capability, experience and competence;</li> <li>○ Health, Safety and Environmental capability, experience and competence; and</li> <li>○ Cost.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Appoint the Contract Supervising Officer (CSO) for the job/work. (can be earlier – not later)</li> <li>• <b><u>In consultation with CSO and others involved,</u></b> carry out detailed job planning: <ul style="list-style-type: none"> <li>○ Risk Assessment (RA) for contractor from related/impacting STFC activity;</li> <li>○ RA for STFC from contractor activity;</li> <li>○ Contractors Method Statements (MS);</li> <li>○ Identification of training and induction requirements including emergencies for contractors and any sub-contractors;</li> <li>○ Arrangements for communication between STFC and contractors/sub-contractors and the contractor’s supervision;</li> <li>○ Update of records for all contractor activities and consider interactions</li> </ul> </li> </ul>
<b>Contract Supervising Officer (CSO)</b>			<ul style="list-style-type: none"> <li>• Get involved</li> </ul>
<b>Contractor</b>		<ul style="list-style-type: none"> <li>• As part of the tender process provide all requested SHE information in addition to the technical response.</li> </ul>	<ul style="list-style-type: none"> <li>• Prepare and submit RA and MS (RAMS) in full compliance with STFC Codes.</li> <li>• Exchange information with STFC on hazards being introduced to STFC sites and safe working.</li> <li>• Agree all SHE arrangements with STFC including communication and supervision.</li> </ul>

## Activities at the START of, DURING and AFTER the contract

	At the Start	During	After
<b>Staff Letting Contracts (SLC)</b>	<ul style="list-style-type: none"> <li>• Be satisfied that the CSO is in place and that the job/work is being supervised by STFC</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain sufficient contact with the CSO, contractor and job/work to know that the agreed safety arrangements are being implemented</li> <li>• Support the CSO in challenging any departure from the agreed safety arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Review the technical and SHE performance of the contractor and any sub-contractors. As appropriate feedback poor SHE performance to STFC's procurement service providers as input to future tender selection exercises</li> </ul>
<b>Contract Supervising Officer (CSO)</b>	<ul style="list-style-type: none"> <li>• At the outset confirm all job/work details with the contractor's supervisor/staff checking that the prior RAs and MSs remain valid.</li> <li>• Confirm competency of all contractor and sub-contractor staff employed – see evidence of their training/competence</li> <li>• Deliver agreed site and local SHE induction training</li> <li>• Work through all other items in SHE Code 15 CSO check sheet, Appendix 3</li> <li>• Ensure all contractors have read and signed the STFC Information for Contractors Notice – SHE Code 15 Appendix 4</li> </ul>	<ul style="list-style-type: none"> <li>• Manage, supervise and communicate as agreed in the planning stage, with particular attention to any changes that may affect their work</li> <li>• Undertake routine and periodic checks that agreed safety arrangements are being implemented</li> <li>• Encourage and enforce incident reporting requirement and enter such reports in STFC's SHE reporting system</li> <li>• Challenge any departure from agreed SHE arrangements and standards</li> </ul>	<ul style="list-style-type: none"> <li>• Report to the Managers Letting Contracts on the SHE performance and competence of the contractors</li> </ul>
<b>Contractor</b>	<ul style="list-style-type: none"> <li>• Confirm agreement with all planning arrangements including RAMSs and provide evidence of staff competence for work planned.</li> <li>• Read and sign the STFC Information for Contractors document and comply with its requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Work entirely to the agreed RAMS</li> <li>• Discuss any departure with CSO - <b><u>In advance</u></b></li> <li>• Raise any SHE issues with the CSO immediately</li> <li>• Report all SHE related incidents – injuries and near misses to the CSO</li> </ul>	