



Control of Third-Party Risk HS 1.17

Control of Contractors

1.1 Application

Persons or employers in control of workplaces who retain a supply chain to carry out work have obligations placed on them by health and safety legislation in respect of their own direct employees and the supply chain.

Equally, contractors themselves owe certain statutory duties under the same legislation to the people or organisations retaining their services; to their employees; to other contractors operating in the workplace and anyone else who could be adversely affected by their activities.

Compass Group UK&I has an involvement in a wide range of tasks including new construction projects, extensive upgrading and refurbishment of facilities and buildings, planned maintenance and minor repairs over all disciplines for a wide variety of clients.

In order to deliver these works the Company has to employ, manage and oversee a wide range of contractors and suppliers. Therefore, it is vital that control of contractors features highly in our overall strategy for Safe Systems of Work.

1.2 Scope

These arrangements apply in all situations where work activity is under the direct control of Compass Group UK & Ireland.

Ensure that the Health and Safety responsibilities of Contractors and Third Parties are properly managed to reduce the risks to individuals and Compass Group.

Managing Third Parties Control Measures

Minimum Requirements	Visitor	Delivery	Contractor	Contractor High risk activity	Construction Contractor
General Access Control	√	√	√	√	√
Short Induction	√	√			
Full Induction			√	√	√
Authority to Work			√	√	√
Permit to Work				√	
Construction phase plan					√



1.3 Roles & Responsibilities

Contract / Site Managers in conjunction with functional heads of departments are responsible for ensuring compliance with this procedure.

1.3.1 Managers and Supervisors:

Must ensure that the controls set out in this and associated HSE procedure Standards are fully implemented e.g. Safe Systems of Work, Isolation (Control of Hazardous Sources of Energy), Permits to Work and other processes relating to Third Parties e.g. Supplier Management processes, Control of Records and Retention process etc.

1.3.2 Third Parties:

Must comply with Compass Group requirements and any client or site-specific rules e.g. access to restricted areas, being accompanied by a host at all times, only carry out work which has been authorised.

1.3.3 HSE Team:

Will provide advice on compliance with this and related standards, written safe systems of work, content of induction training and information for contractors, training on Permits to Work etc.

2 Process / Procedures

2.1 Control Strategy

The following control strategy will be used at all times when engaging contractors and suppliers to carry out work on behalf of the Company or any of our clients:

- a. Identification of suitable contractors;
- b. Provision of health and safety information;
- c. Evaluation of task specific health and safety information;
- d. Agreement of safe method of work;
- e. Monitoring of contractor on site;
- f. Performance feedback;
- g. Review

Applying the above will ensure that we establish clear parameters for everyone involved, including sub-contractors where appropriate. This will involve taking into account your "Risk Assessment" (under the Management of Health and Safety at Work Regulations), together with that of your contractors.



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There may be a need for detailed method statements and Safe Systems of Work for complicated or potentially hazardous work activities.

Contractor liaison involves the information that we provide to them, receiving and evaluating information provided by the contractor, agreeing working methods and monitoring through meetings and site inspections.

2.1.1 Contractor Control

The following highlights the key elements of the process:

2.1.2 Identification of suitable contractors

The initial selection of contractors is achieved through the Company Pre-qualification process using either The Safe Contractor scheme or a Pre-Qualification Questionnaire (PQQ) that is aligned to PAS 91. No contractor is allowed to work on any Company site until they have been reviewed and accepted via the PQQ process and are listed on the Compass Group Approved Vendor (AVL) list.

2.1.3 Tender Information & Analysis

It is essential that tender documentation contains sufficient information regarding health and safety, to enable the contractor to develop and cost all necessary measures they will need to take to ensure safe working practices on site. This should prevent poor safety performance due to 'uncosted' safety precautions.

Part of the tender analysis must be safety content i.e. what is the quality of their safety proposals, and has sufficient measures been allowed for safety issues (supervision, access, equipment etc.)

Safety must feature as a main item at any post bid interviews and be a prime factor along with cost and programme in final selection.

2.1.4 Competence

The PQQ process is an initial appraisal taken as a snapshot of contractors that have demonstrated that they have the necessary skills and safety management systems in place to meet our standards, it cannot be totally relied upon as a control and requires the contact / project manager to carry out additional checks as details further in this process.

It therefore follows that the contact / project manager must carry out additional checks on the contractor's operatives to ensure that they have the agreed competencies to carry out the work i.e. gas safe, NICEIC 17th edition, Skilled Person appointments and the ability to obtain the relevant permits etc.

Evidence of these competencies are to be copied and held on site.

2.1.5 Prestart Meetings

Before the Contractor commences on site a pre-start meeting must be held at which the Contractors' Project Manager and Site Manager should attend. This meeting is used to ensure that all information is available to the contractor and that he is fully aware of the site rules and that all his initial safety precautions i.e. risk assessments and method statements etc. are in place.



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2.1.6 Induction

Before any operative commences on site, they must receive a full site induction which covers certain risks and hazards that must be communicated e.g. the location of Asbestos and Asbestos Containing Materials (ACM). This induction shall be valid for no more than 12 months. Contractors shall be issued a card which should be presented on repeat visits until the card expires. On expiry of the induction card the contractor will be required to be fully inducted again. A record of all inductions shall also be held in site records.

2.1.7 Risk Assessments and Method Statements

Prior to commencement of any operation the contractor must prepare a risk assessment and method statement. Although the Company does not formally “approve” such third party risk assessments or method statements Compass Group managers must nevertheless ask for them in order to establish if they exist and to check them to determine whether the contractor appears to have produced a suitably detailed assessment of risk supported by robust measures to control such risks.

In addition any operative carrying out an operation, must have had explained to him before he commences any significant items from the risk assessment and method statement regarding hazards and precautions to be taken.

2.1.8 Authority to Work

On acceptable completion of 2.1.6 & 2.1.7. The contractor will receive a written authority to work. This is a written permit issued by a person trained and appointed to do so. This is only valid for one day and must be returned to the point of issue on departure.

2.1.9 Isolations

Tasks requiring isolations

An “Isolation” is not part of the Authority to proceed process and shall only be used as a supporting control for the issue of an Authority to Work or Permit to Work.

It therefore follows that if there is an identified need or an isolation of any kind an Authority to proceed is not to be utilised as a standalone control measure.

2.1.10 Safe Coordination Meeting

The Site / Contract Manager must arrange and chair regular safety co-ordination meetings at which, all on-site contractors and the Client as applicable must be represented. This meeting is to be used for the cross flow of safety information and the resolution of safety issues.

2.1.11 Project / Contract Manager Safety Inspections

The Site / Project / Contract Manager is to carry out sufficient inspections of work in progress to ensure that all works are being carried out in accordance with agreed risk assessments and method statements and compliance with both the Company and the clients’ site rules.



These inspections should be carried out during safety critical stages of the work. At maximum intervals of a week, a formal safety inspection of all areas of the site must be made by a Manager or their representative and findings issued to relevant contactors and the Contract Manager.

In addition to the formal weekly inspection, any breaches of safety regulations brought to his notice during the course of his normal duties must be advised to the offending contactor in writing.

2.1.14 Handover

Managers are to check all planned maintenance work at handover ensuring that standards of work are as agreed and the site has been left in a safe condition for the clients' use.

Additionally, that all necessary certification has been completed correctly, reviewed and where required copies provided to the client / building manager before final payment of the contractors invoice.

2.1.15 Contractor Safety Appraisals

The Manager is to report direct to procurement any unsatisfactory work or behaviours that have not been resolved locally and were of sufficient magnitude to require sanction by the business i.e. issuing an internal improvement notice, placing the contractor on monitor or stop.

The HSE team will also carry out periodic reviews on contractors to ensure that the information given by the contractor in the PQQ is still relevant.

3.0 Record Keeping

Control of the following records should be retained for a period of three years:

- Induction records
- Certificates of competence
- SSOW / RAMS
- Authority to Work and Permit to Work (where applicable)

4.0 Training and Competence Requirements

Persons issuing Authority to work must be competent and appointed as defined in HS/ 1.19 Authority to Work.

5.0 Training and Competence Requirements

- HS 1.9 Duty Holder Matrix and Responsibilities
- HS 1.10 Induction
- HS 1.14 Permit to Work
- HS 1.19 Authority to Work



Contractor Management

Strategy/Process Map

