

Health Safety and Environment

Control of Third-Party Risk

HS 1.19

Authority to Work

1.0 Application

Purpose of this Document:

The Compass UK&I Authority to Work (ATW) process is a formal written procedure used to control works conducted by contractors and third parties that have been identified as requiring operational controls.

This system is in place to ensure that proper consideration is given to the hazards, risks and required controls associated with a particular task. The Authority to Work authorises competent personnel to carry out specific work in a designated area at a certain time, setting out the methods of work and precautions to be taken to complete the work safely.

It is also an essential means of communication between site management, end user, maintenance personnel, contractor supervisors/foremen and any other stakeholders that may be affected by work.

An Authority to Work Process Flow Chart can be found in Appendix 1.

1.1 Scope

The Authority to Work system is applicable to all Compass Sites where Third-Party Contractors are utilised.

The process is designed to ensure that the Health and Safety responsibilities of Contractors and Third Parties are properly managed to reduce the risks to individuals and Compass Group.

The table below indicates the circumstances where the issue of an Authority to Work is required.

Minimum Requirements	Visitor	Delivery	Contractor (Low Risk Activity)	Contractor (High Risk Activity)	Construction Contractor
General Access Control	✓	✓	✓	✓	✓
Short Induction	✓	✓			
Full Induction			✓	✓	✓
Authority to Work			✓	✓	
Permit to Work				✓	
Construction Phase H&S Plan					✓

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1.2 Roles & Responsibilities

This process is co-ordinated and controlled by the Authorised Signatory (who has been appointed by The Duty Holder.

To be applicable for appointment, Nominated Authorised Signatories must have successfully completed the Compass Authority to Work Training

1.2.1 Contract Operational Management:

The Contract Operational Manager has overall responsibility for ensuring that this process is operated and adhered to.

The Contract Operational Manager is to ensure that the Authority to Work System is adequately resourced. When an Authorised Signatory is not at the workplace (i.e. on annual leave) the role must be covered by another Authorised Signatory.

1.2.2 Authorised Signatory:

The Authorised Signatory is appointed to coordinate and control the issue and return of Authority to Work Documents.

Authorised Signatories may only approve works within their stated level of authority and within their field of expertise.

The Authorised Signatory as part of their duties will ensure:

- All works requiring the issue of an Authority to Work are identified.
- All persons who may be affected by the works are informed.
- Contractor completing works requiring issue of an Authority to Work have submitted suitable and sufficient Task Risk Assessments and Method Statements and these are reviewed against the 10 Point Checklist.
- Where a "High Risk" element to the task is identified the relevant Authorised and/or Responsible Persons are informed.
- Contractor completing works requiring issue of an Authority to Work have provided evidence of the Work Team Members competency.
- Authority to Work activities that may interact or affect other site activity are adequately controlled; all other work that would create a hazard if undertaken at the same time is suspended and made safe.

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- Limitations on the timing and scope of the work are defined as well as actions to be taken in the event of site emergencies.

2.0 Authority to Work Process

An Authority to Work is valid for up to 8 hours and must be renewed daily from the date of issue.

An Authority to Work must be obtained from the Authorised Signatory prior to work commencing on site.

The following Authority to Work Procedures are intended to aid hazard control plus provide guidance for all work activities that takes place on sites and establishments operated by Compass Group that may interact with normal operations.

The Authorised Signatory involved with issuing of Authorities must be aware of potential interaction between works on site and must ensure that when an Authority is prepared, the work to be carried out takes account of other activity currently planned or underway.

Interacting activities may make special demands upon task planning. Where this is the case controls are to be clearly detailed on the Authority documentation.

2.1 Authority to Work Procedures

2.1.1 Preparatory Procedure:

Contract Operational Management select a contractor from the current Compass Group Approver Vendor List (AVL).

The Contractor engaged to complete the task must submit suitable and sufficient Task Risk Assessments and Method Statements. These documents should contain sufficient detail for The Authorised Signatory to fully understand the work proposed to begin the preparation of the Authority to Work.

The submitted documentation should ideally be submitted to the Authorised Signatory at least 5 days prior to the task commencing.

The submitted documentation should include, but not be limited to, the following:

- Job Definition
- An Identification of the Hazards
- Task Methodology
- Assessment of Risks
- Control Measures to Reduce Significant Risks

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- Evidence of Work Equipment Inspections
- Confirmation of Contractor Workforce skills/qualifications and competency
- Emergency Arrangements

The Authorised Signatory shall consider alternative ways of carrying out the task and identifying the lowest risk option. The Authorised Signatory must consider:

- The potential consequences, in the event of an unplanned event, to people equipment; and
- The likelihood of changes to the environmental conditions that could adversely affect the planned works. E.g.: deterioration in the weather.

Where a requirement for a “High Risk” Permit is identified by the Authorised Signatory, they shall forward copies of the submitted documentation to the relevant Authorised or Responsible Person.

The Authorised Signatory must use the Works Approval Checklist (Appendix 2) to ensure that the submitted documentation is suitable, sufficient and task specific.

Where the submitted documentation is deemed insufficient the Authorised Signatory shall liaise with the Contractor to resolve any issues.

The Authority to Work is prepared by the Authorised Signatory only when they are in possession of an approved set of documentation.

2.1.2 Issuing Procedure:

All members of the contractors Work Team shall receive a site induction as required by the site access procedure.

The Authorised Signatory shall check the competencies of the Work Team, inspect all Work Equipment, and ensure Work Area Controls are in place. Where the issue of the Authority to Work is required to enable the Work Area Controls to be set up, the Authorised Signatory is to issue the Authority to Work and remain at the Point of Work until the controls are in place.

The Authorised Signatory shall issue the Duplicate Authority to Work at the Point of Work or Access to Work Area, the Work Team Supervisor. Where the issue of the Authority to Work is required to enable the Work Area Controls to be set up, the Authorised Signatory is to issue the Authority to Work and remain at the Point of Work until the controls are in place.

Where the issue of a Permit(s) is required for a “High Risk” Element, the relevant Authorised or Responsible Person shall demonstrate or check that the required controls / isolations are in place and

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issue the Original Permit, at the Point of Work, to the “Competent Person” within the Work Team before the “High Risk” Element proceeds.

The Duplicate Authority to Work plus all relevant associated documentation is to be held by the Work Team Supervisor and is to be available to view at the Point of Work or Access to Work Area.

The Originals of any Permits to Work plus all relevant associated documentation are to be held by the Competent Person and are to be available to view at the Point of Work or Access to Work Area.

The Authorised Signatory and where applicable Authorised / Responsible Persons shall monitor the work operations.

2.1.3 Suspension Procedure:

Where it is necessary for the Authorised Signatory to suspend an Authority to Work, the Work Area is to be made safe, and the duplicate of the Authority to Work is to be surrendered to the Authorised Signatory.

If the works can be recommenced before the expiry of the Authority to Work, the Authorised Signatory shall check the Work Area Controls and return the Duplicate Authority to Work to the Works Supervisor. The works can then continue.

If the works cannot be recommenced before the expiry of the Authority to Work, the Authorised Signatory shall cancel the Authority to Work and a new Authority to Work shall be issued before the works recommence.

2.1.4 Cancellation Procedure:

The Authorised Signatory is responsible for ensuring that the Authority to Work and all associated documentation are returned at the completion of the task.

On completion of the task the Authorised Signatory and Works Supervisor must meet at the work site to confirm that the following:

- Works have been completed as required and that the site has been restored to a safe and tidy condition.
- That any waste materials have been removed from site and the site is secure.
- Any disturbance /penetration of building fire compartmentation has been re-instated and labelled.

The Works Supervisor returns the Authority to Work and all associated documentation to the Authorised Signatory who then cancels the Authority to Work.

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Upon Cancellation the Authorised Signatory shall file the Authority to Work and all associated documentation in line with the Site Procedures.

2.1.5 Remote Sites Procedure:

Where the issue of an Authority to Work is required on an unmanned site the following procedure is to be followed:

- Authorised Signatory to review Task Risk Assessment and Method Statement considering the increased risk from the absence of a Compass presence on site.
- Authorised Signatory inform Risk Assessment and Method Statement Submitter of the access and reporting arrangements and confirm the contact details of the Attending Operative.
- Authorised Signatory to contact Attending Operative to confirm their understanding of the Task Risk Assessment and Method Statement Submitter and inform them of the access and reporting arrangements.
- Authorised Signatory to send Electronic Authority to Work to Attending Operative.
- Attending Operative to contact the Authorised Signatory or Designated Contact upon arrival at site.
- Attending Operative and Authorised Signatory or Designated Contact to agree Lone Working arrangements including reporting frequency.
- Authorised Signatory or Designated Contact to record contact times with Attending Operative.
- Attending Operative to contact the Authorised Signatory or Designated Contact upon leaving site and confirm status of task.
- Attending Operative to sign and return the Electronic Authority to Work to the Authorised Signatory.
- Authorised Signatory to file completed Authority to Work with a copy of the Task Risk Assessment and Method Statement and Contact Record.

This procedure is not applicable where the Authorised Signatory deems the Risk from the location or Task to High or where a High-Risk Permit is required.

In these circumstances, the attendance of a suitable Compass Attendee is to be arranged. This is to include the relevant Authorised Persons(s) where applicable.

2.1.6 Call-Out and Emergency Procedure:

Where a task must be arranged at shorter notice, or out of normal hours the procedures 2.1.1 to 2.14 or 2.1.5 need to be followed, but the following arrangements may be utilised:

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- Call Out Risk Assessments and Method Statements may be pre-approved and library copies used.
- The 5 Day notice period in specified in 2.1.1 can be foreshortened.
- Where an Authorised Signatory is not available support can be given by the HSE and Technical Services Teams.

3.0 Permits to Work

This process does not remove the need for the issue of Permits to Work for 'High Risk' activities. The Permit to Work Processes are outlined in the Compass Group Permit to Work Policy and is not part of this process.

Compass Group requires 'High Risk' activities to be controlled using a Permit to Work. The table below is taken from the Compass Group Permit to Work Policy and outlines the systems and operation where a Permit to Work may be required and the persons authorised to issue such permits:

High Risk Systems and Operations	Issuing Authorities
High Voltage Systems	Authorised Person or Authorising Engineer (HV)
Pressure Systems	Authorised Person or Authorising Engineer (Mech)
Low Voltage Systems	Authorised Person or Authorising Engineer (LV)
Ventilation Systems	Authorised Person or Authorising Engineer (Vent)
Working at Height	Authorised Person or Authorising Engineer (WaH)
Confined Space Working	Authorised Person or Authorising Engineer (CS)
Petroleum Systems	Authorised Person or Authorising Engineer (Pet)
LPG and Natural Gas Systems	Responsible Person or Authorising Engineer (Gas)
Lifting Operations	Authorised Person or Authorising Engineer (LOLER)
Hot Works	Responsible Person or Authorised Person (Fire)
Fire Systems Impairment	Responsible Person or Authorised Person (Fire)
Ground Penetration	Responsible Person (Grounds)
Asbestos	Responsible Person (ACM)

Where the Authorised Signatory identifies that a Permit to Work is required, they are to inform the relevant Issuing Authority.

Further details with regards Permit to Work can be found in the Compass Group Permit to Work Policy or the relevant Safety Rules and Procedures.

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4.0 Record Keeping

The Technical Duty Holder shall maintain a Register of all appointed Authorised Signatories.

A list of contract Authorised Signatories shall be held within the Duty Holder Matrix. Training records are to be annotated with the level and extent of the training received.

Copies of the following records and documents shall be retained for a minimum period of three years:

- Contractor Induction Records
- Contractor Competency Records
- Contractor Equipment Inspection Records
- Task Risk Assessments and Method Statements
- Completed Authority to Work Forms
- Contractor Monitoring Records

Completed Authority to Work Pads shall be retained for a minimum of three years from the last entry.

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5.0 Training and Competence Requirements

Contractors intending to carry out work will be required to prove and declare their competence. This may be achieved by showing relevant Qualifications, Industry Registration Cards (CSCS, CITB etc), Operator Licences (IPAF, PASMA etc), and/or Employers Statements of Competency. This documentation must be submitted 5 days in advance of contractors arriving on site.

Authorised Signatories will need to have successfully completed the Compass Group Authorised Signatory Training Course and been appointed by the Technical Duty Holder.

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6.0 Monitoring, Auditing & Review

Authorised Signatories are to use the Checklist in Appendix 3 to monitor:

- That the job is continuing as planned (e.g. Scope of Work).
- That the contractor working safely and as agreed.
- That the work area being maintained in a tidy state.
- Whether there any changes in contractor personnel.
- Whether any special or additional arrangements are required.

The Authority to Work system is audited regularly, by Compass Group HSE Management.

These audits examine Authority to Work records. Non-conformance with the Authority to Work Process must be recorded, and subsequent remedial measures tracked to ensure all issues are effectively closed out.

This Process is reviewed by the Technical Duty Holder to ensure it continues to comply with current legislation, industry best practice and Compass Group Policies

Summary of Changes			
Version	Dated	Changes	Approved By:
Issue 1.1	01-07-2016	Release of new document	Simon Donnelly
Issue 2.1	01-01-2021	Revised Document following training and appointment changes	Mark Armstrong
Issue 2.2	01-07-2021	Addition of Remote Sites Procedure	Mark Armstrong
Issue 2.3	22-01-2024	Revised Document to align Roles and Responsibilities with other Compass Operational Policies. Replacement of reference to HS1.14 with Compass Group Permit to Work Policy.	

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		Revision of Process Flow Chart (Appendix 1). Revision of Authority to Work Monitoring Checklist (Appendix 3).	
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Appendix 1 Authority to Work Process Flow Chart

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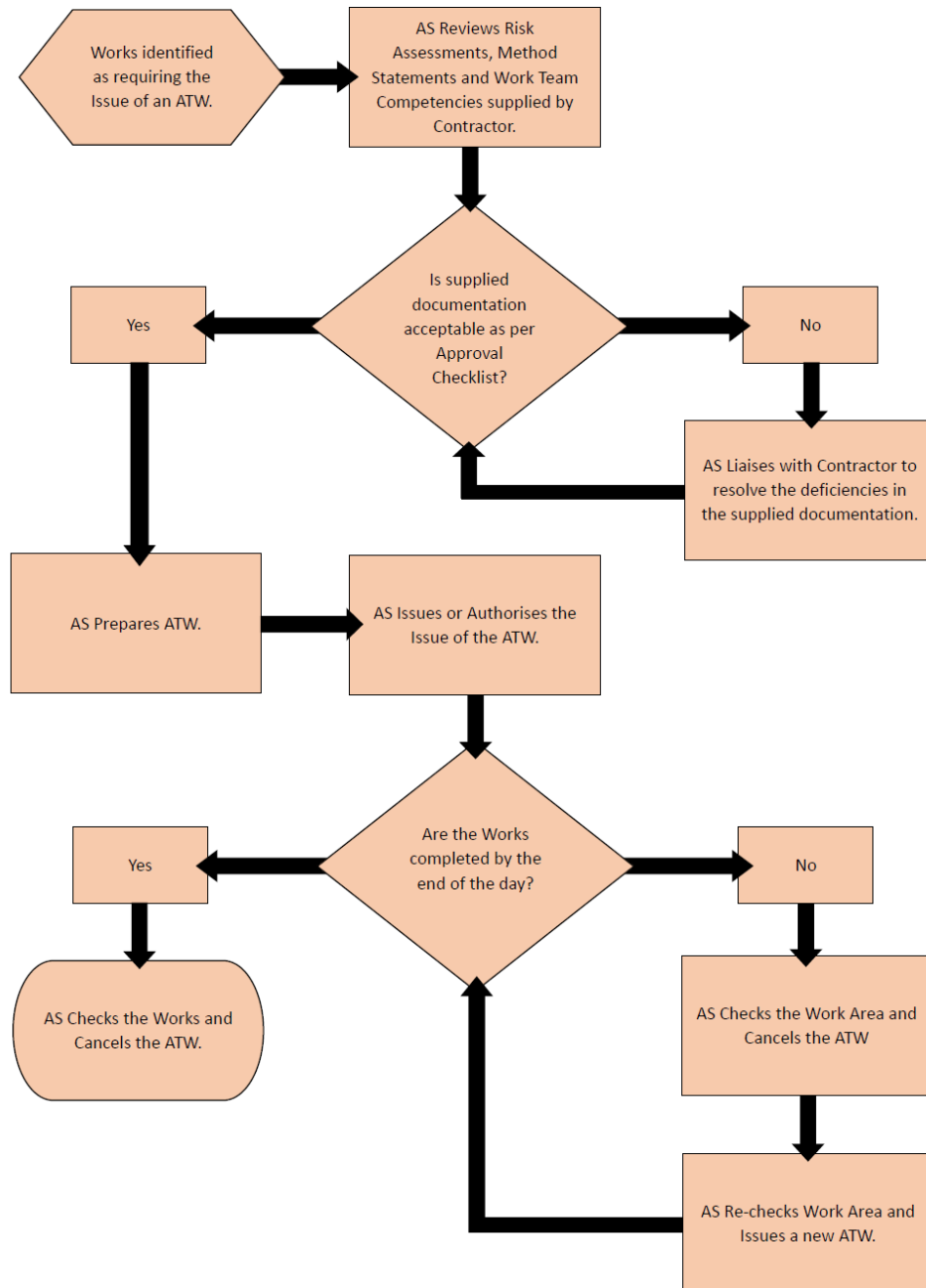
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Appendix 2 Works Approval Checklist

Method Statement Approval Checklist										Authority Reference							
Item	Yes	No	NA	Remarks													
Description of Works																	
Competencies checked and evidenced																	
Induction of team completed and recorded																	
Assessment of significant risks: <i>including access and egress, place of work, other a risk (i.e. the public), COSHH, Noise, manual handling etc.</i>																	
Control Measures Adequate: <i>Including barriers, guarding, Isolations, PPE</i>																	
Tools and Equipment certification evidenced																	
Relevant Parties Informed																	
Emergency Arrangements: <i>Including Fire, First Aid, lone working, rescue</i>																	
Temporary Amended Systems: <i>Including traffic rerouting, fire arrangements etc</i>																	
Monitoring and Compliance																	
High Risk Permit to Work required														Y		N	
HV	LV	WaH	CS	Hot	GP	Mech	FSI	Med	Other								

Approval	Yes	No	
Method Statement Covers 10 point Rule			
Risk Assessments included			
Is task critical to clients operations			
Satisfactory for implementation			
Subject to comment, satisfactory with a revised detailed submission			
Not satisfactory –resubmission required			

Signature of Assessor:

Date:

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Appendix 3 Authority to Work Monitoring Checklist

This checklist is intended to be used for the day-to-day monitoring of the work being carried out under the authority to work process.

Date:	Time:	Contractor:
Reviewer:	Position:	Site:

If any unsafe conditions are found, the work must be stopped and the Authorised Signatory issuing the authority to work must be notified immediately.



	Yes	No	N/A
1. Is an authority to work document in place and on the job?			
2. Are relevant permits in place?			
3. Are necessary risk assessments available and on the job?			
4. Are the authority to work, associated documents legible?			
5. Is the operational time limit of the authority to work and permits clear?			
6. Are control measures in place as stated within the RAM's?			
7. Is the work carried out in line with the authority to work?			
8. Are the right people carrying out the task?			
9. Do people know what to do in the event of emergency? (ASK)			
10. Is the personal protective equipment (PPE) in use and in good order			
11. Are tools and equipment suitable and in good condition?			
12. Are housekeeping standards satisfactory?			
Observations/discussions:			
Actions required:			
Reviewer:	Signature:		

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Appendix 4 Authority to Work Permit Form

Authority To Work		 					
Date	Your Name	Your Contact Number	Company Name		Site Pass Issued		Pass number
					Yes	No	
Valid For Above Date Only		Specific details of work to be carried out				Time In	Contractor/Vendor Signature (on receipt and acceptance)
Site Induction/Orientation Complete							
Safe System of Work Approved							
Competence Checked						Is a High Risk PERMIT TO WORK required before work commences?	
Equipment and PPE checked		Type:	Permit Number:	When Date and Time		This Pass Must be returned to point of issue upon departure	
Asbestos Register Checked		Appointed Person Issuing Authority to Work					Authority Number
Vehicle Reg		Print name			Signature		123456
		Time			Date		

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