

SAFE WORKING PROCEDURE

Control of Contractors - Service Providers and Suppliers of Goods

CORPORATE HEALTH & SAFETY SERVICE | VERSION 1.00 | March 2023

STATEMENT

In order to comply with legislation and fulfil statutory responsibility, Southampton City Council must make sure that:

- All consultants and service providers engaged by them are competent to carry out work safely, in compliance with health and safety legislation and Southampton City Council procedures and protocols.
- Sufficient resources and time are made available to fulfil the contract requirements.
- All goods purchased comply with the relevant health and safety standards and legislation where applicable.

SCOPE

This Safe Working Procedure (SWP) applies to:

- All Managers including Head Teachers (referred to as managers herein), who are responsible for engaging service providers.
- All employees of Southampton City Council.
- All service providers working on behalf of Southampton City Council.
- All suppliers of goods to Southampton City Council

Please note – There is a separate Safe Working procedure for the Control of Contractors in relation to construction and building maintenance works.

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DEFINITIONS A - Z

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| <i>“Asbestos Register”</i> | The council’s online data base, created from a management survey which has been undertaken in order to produce a register which details where asbestos is located within a property or where there is likely to be asbestos. |
| <i>“Client Service”</i> | The Council directorate, business unit, service area or school who issues an instruction, contract or order for work, services, or goods. |
| <i>“Competent Person”</i> | A person who has the necessary skills, experience, and knowledge to manage health and safety |
| <i>“Health & Safety Management System” (HSMS)</i> | The management database and online reporting system which the Council uses to record and monitor incidents and accidents in relation to its business for all staff and others and contains records of these incidents. |
| <i>“Premises”</i> | Premises where Council staff, service users or the public are present and/or are using the facilities. |
| <i>“Pre-Qualification Assessment”</i> | An assessment made at tender stage by a competent person of the suitability of a contractor or service provider with regards to their health and safety arrangements. |
| <i>“Pre-Qualification Requirements / Questionnaire”</i> | Health and Safety requirements set out in the work specification or within the quality questions at tender stage to determine whether the contractor / service provider meets the minimum health & safety standards for the work they are to undertake. |
| <i>“Pre-start Health and Safety Assessment”</i> | An assessment made by a competent person of a contractor or service providers site and task specific Risk Assessments and other required health and safety documentation prior to the work or service commencing. |
| <i>“Requesting Officer / Commissioning manager”</i> | The Southampton City Council Manager commissioning the work, services, or purchase of goods on behalf of a Southampton City Council directorate, business unit, service area or school |
| <i>“Service Provider”</i> | <p>Anyone who is commissioned by written or verbal contract or instruction to provide services or to undertake work for Southampton City Council, but is not a Council employee.</p> <p>Service Providers include:</p> <p>(a) Those working as a separate business under a contract for services.</p> <p>(b) Self-employed people working under a contract for services, including consultants.</p> <p>Examples of Service Providers are; Security Services; Cleaning Services; Gardening Services; External catering services etc</p> |
| <i>“Suitable and Sufficient”</i> | <p><u>Suitable</u> means level and complexity, for higher risk work one would require more in-depth monitoring, checks, more frequent inspections etc. of the task, organisation, contractor, or service provider.</p> <p><u>Sufficient</u> identifies as many of the known hazards and risks as possible. i.e. have appropriate measures, checks, inspections been identified, and controls implemented.</p> |
| <i>“Supplier of Goods”</i> | <p>Anyone who is commissioned by contract or instruction to supply goods to Southampton City Council.</p> <p>Examples are; suppliers of stationary, cleaning products, chemicals etc</p> |

CONTROL OF SERVICE PROVIDERS AND SUPPLIERS OF GOODS

1. Responsibilities

Senior Managers / Head Teachers are responsible for compliance with this SWP and must:

- 1.1. Ensure all contracts are commissioned in accordance with Southampton City Council's Contract procedure rules, protocols, and Safe Working Guidance documents.
- 1.2. Ensure that their staff are competent to carry out their required health and safety role when commissioning and working with Service Providers and procuring supplies of goods.

The Commissioning Manager / Requesting Officer is responsible for ensuring compliance with the SWP when commissioning services and must:

- 1.3. Commission all contracts for services in accordance with Southampton City Council's procedures and protocols, including the [Contract Procedure Rules](#)
- 1.4. Ensure Health and Safety requirements are set out in the work specification, or within the quality questions at tender stage to determine whether the service provider meets the minimum health & safety standards for the work they are to undertake. This information must be submitted to Procurement Services by the Requesting Officer.
- 1.5. Obtain proof at tender stage of the service provider's Health & Safety competence, insurances, health and safety policies, procedures and where required, DBS checks.
- 1.6. Ensure a Pre-Qualification Assessment of a service provider's Health and Safety arrangements is carried out by a competent person prior to commissioning.
- 1.7. Ensure the contractual agreement made between Southampton City Council and the service provider or suppliers of goods includes any specific requirements for health and safety where applicable.
- 1.8. Ensure the service provider submits site and task specific Risk Assessments / Method Statements prior to commencing work.
- 1.9. Ensure a pre-start assessment is made by a competent person of a service provider's site and task specific Risk Assessments prior to commencing work.
- 1.10. Ensure any other required health and safety documentation relative to the site and task being undertaken is obtained and assessed by a competent person prior to the service commencing (e.g. the relevant operatives' Health & Safety training competencies).
- 1.11. Liaise effectively between all parties.
- 1.12. Ensure clear arrangements are in place for giving the relevant information to Council staff and service users prior to the supply of the service or commencement of activities or works.
- 1.13. Ensure the health, safety, and welfare of employees/service users/pupils/any other person(s) who continue to use/visit the premises throughout the Service Provider's operations or delivery of service.
- 1.14. Provide information to the Service Providers operatives on fire procedures and any known hazards their service delivery and activities may disturb.
- 1.15. Provide a suitable site induction where required.
- 1.16. Ensure the service providers operatives view and sign the asbestos register (if relevant) prior to commencing work if they are operating in an area of known, or of presumed asbestos containing materials. Any accidental disturbances must be treated in accordance with the [SCC Control of Asbestos policy](#).
- 1.17. Ensure the service provider is aware of and understands the application of any Southampton City Council's Safe Working Procedures in respect of their service undertaking.
- 1.18. Ensure all service providers comply with local arrangements for signing on and off the site.
- 1.19. Ensure suitable and sufficient monitoring of the service providers' health and safety arrangements is carried out whilst they are on the premises.
- 1.20. Have arrangements for notifying the Service Provider of any shortcomings in health and safety management. It may be reasonable to follow up minor infringements verbally with the Service Provider, but it must be borne in mind that a pattern of such infringements may indicate an underlying lack of health and safety culture requiring a more formal approach.
- 1.21. Report all incidents/accidents (including hazards and near misses) in compliance with the contract and [SWP Accident/ Incident Reporting and Investigation](#).
- 1.22. Obtain relevant documents from the Service Provider at the end of the work if applicable i.e. operating instructions, maintenance requirements, and test certificates.
- 1.23. Ensure any equipment and products specified are appropriate to British standards, legislation, and the relevant industry guidance.

- 1.24. Ensure any maintenance plans associated with equipment hire and the like is implemented, and a record kept.
- 1.25. Ensure that all access routes and areas affected by the service providers work have been cleared of any potential hazards on completion of the work.

The Commissioning Manager / Requesting Officer is responsible for ensuring compliance with the SWP when purchasing supplies of goods and must:

- 1.26. Ensure any equipment and products procured, and goods delivered comply with British standards, health & safety legislation, and the relevant industry guidance where required.
- 1.27. Ensure that the suppliers of goods are made aware of any significant site specific health & safety hazards and required delivery arrangements prior to delivery being made.
- 1.28. Ensure arrangements are in place to ensure goods can be delivered to the premises safely, and delivery drivers are made aware of any health & safety hazards on arrival at the premises.
- 1.29. Ensure the health and safety of employees/service users/pupils/any other person(s) who use or visit the premises whilst deliveries are being made.
- 1.30. Ensure goods delivered are not left in such a way as to pose a hazard to users of the premises, and that all access routes are clear.

Employees must:

- 1.31. Report any contraventions in health and safety practice to their line manager and any serious contraventions in health and safety practice on Southampton City Council's Health and Safety Management system.
- 1.32. Comply with any health and safety arrangements that have been implemented.

Service Providers must:

- 1.33. Comply with all health and safety legislation and relevant industry guidance.
- 1.34. Provide site and task specific Risk Assessments/Method statements prior to commencing work.
- 1.35. Ensure equipment or products used comply with British standards, legislation, and industry guidance.
- 1.36. Ensure they have suitable and sufficient insurance in place prior to commencing work.
- 1.37. Comply with any local procedures and safe systems of work.
- 1.38. Vet the competence of all appointees, workers, and sub-contractors to include their training to the necessary competency standards required.
- 1.39. Be authorised to carry out the work and comply with local arrangements for signing on and off the site.
- 1.40. Provide hazard information to their workers where applicable
- 1.41. Report incidents/accidents/near misses in accordance with the contract and [SWP Accident/Incident Reporting and Investigation](#)
- 1.42. Comply and assist in accident/incident investigations, which may include providing evidence of suitable health and safety arrangements, training documents and servicing arrangements for equipment being used or being provided for use.

Suppliers of Goods must:

- 1.43. Ensure delivery drivers are made aware of any site specific hazards made known to them by the requesting officer prior to arrival on the premises.
- 1.44. Ensure deliveries are made safely to the premises without additional risk to Southampton City Council employees/service users/pupils/any other person(s) who continue to use/visit the premises at the time of delivery.

2. Managing Risk - Overview

Southampton City Council Directorates and Services Units must identify training needs and ensure that their staff are competent to carry out their health and safety role regarding service providers and suppliers of goods. Competence is defined as a combination of experience, knowledge, skill, sufficient understanding of the work and other qualities to enable effective implementation. Training is an important part of achieving competence.

- 2.1. Most services provided or goods purchased give potential for harm to occur. Three groups could be harmed:
- (a) The Council's employees exposed to risks from the services provided or goods delivered.
 - (b) Others, e.g. Southampton City Council service users, pupils, and the public who are exposed to risks from the activities, work being done, or goods purchased.
 - (c) The Service Provider or supplier of goods and their employees exposed to risks from Southampton City Council's services or activities, buildings, and equipment – or from another contractor, supplier of goods or services activities or work.
- 2.2. Prior to taking steps to commission a service provider or secure a delivery of goods an assessment should be conducted of the level of risk that could be posed by the work to be carried out. A basic guide to types of contracts with relation to Health & Safety management is provided in [Appendix 1](#), but a more detailed assessment may be required if the work poses a significant risk. [SWP Risk Assessment](#) should be referred to in this instance and advice sought from a Health & Safety professional if required.
- 2.3. It must be ensured that a Service Provider has sufficient insurance in place relative to the risks posed, both to persons and property. Further information on risk management and insurance can be found on the [Risk and Insurance Microsite](#).

FURTHER INFORMATION

Safe Working Procedures Relevant to This Document

[Risk Assessment](#)
[Accident/Incident Reporting and Investigation](#)
Control of Contractors – Construction and Building Maintenance

Note: Other safe working procedures may apply, and the assessor should consult the SWPs. An A-Z is available on the Council's [Health and Safety Intranet](#).

SCC Risk and Insurance [Microsite](#)

Main Legislation Relevant to This Document

[Health and Safety at Work etc Act 1974](#)
[The Management of Health and Safety at Work Regulations](#)

Contact Addresses and Guidance Links

Health and Safety Executive (HSE) www.hse.gov.uk
[Health and Safety Intranet](#)

For further contact addresses visit the health and safety intranet [Useful Contacts](#).

APPENDIX 1 – A GUIDE TO MANAGING SERVICE PROVIDERS AND SUPPLIERS OF GOODS

Co-operation and co-ordination between Southampton City Council and its suppliers of goods or services is essential to minimise risks. To assist with managing the health and safety risks arising from using suppliers of goods or services, a three Tiered H&S Profiling System is documented below. These measures are to be applied in addition to any service delivery outputs described / prescribed by the service contract.

CLASS 1 - Supply of goods-only contracts and orders

For contracts that fall into this class at least the minimum level of Health and safety checks and controls must be employed. The below detail is not intended to be a comprehensive schedule and where further actions are required; they must be implemented.

Contract Examples

- (a) Order for office stationery.
- (b) Order for replacement dust extraction filters.
- (c) Order for portable electric heaters
- (d) Order for chemicals or cleaning products

Selection

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of SCC must ensure:

- (a) That items ordered are fit for the intended purpose.
- (b) That items ordered meet any relevant British Standards regarding health and safety.
- (c) If equipment is being hired, that any relevant certificates of testing or examination are provided.
- (d) If equipment is being procured it must have the relevant marking if required (e.g. CE or UKCA marking) and be accompanied by a declaration of conformity, hazard information / data and instructions for use.
- (e) Material Safety sheets for any chemicals delivered are submitted to the Corporate Health and Safety Service prior to use along with a CARQ form for addition to the SYPOL database.

Co-ordination

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of SCC must liaise with the Building Manager and the Supplier/Service provider to ensure:

- (a) Delivery is made safely, for example minimising risks associated with vehicles reversing/turning or manually handling heavy/awkward objects.
- (b) The goods are delivered at an appropriate place and time and that sufficient notice is given to arrange attendance, as necessary.
- (c) Deliveries of potentially dangerous goods or large items (such as furniture) are monitored.

The Building Manager/Responsible Person, Requesting Officer or anyone commissioning on behalf of SCC ***must ensure that appropriate induction training is given if the goods are to be delivered beyond the reception area in the buildings.***

CLASS 2 - Supply of service contracts

Please Note; This is not suitable to be used for service providers undertaking construction activities or building maintenance work. Any such contractors or service providers must be commissioned and assessed in accordance with SWP Control of Contractors – Construction & Building Maintenance.

For supply of service contracts a Risk Assessment must be carried out by a competent person to determine the level of risk posed by the activities being undertaken by the provider. For service contracts that need particular health or safety measures to prevent significant risk of serious injury to the service providers' workforce, Southampton City Council staff, or members of the public please refer to Class 3 contracts (***This class also includes fixed-term and multi-site contracts***).

Class 2 Contract Examples

- (a) Consultant contracted to give presentation
- (b) Repairs or service to low risk items of equipment e.g. Photocopier repairs on premises
- (c) Inspection or audit services

Selection

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must identify and specify any health, safety or technical qualifications required of the service provider. If in doubt the Requesting Officer must consult with a Health & Safety professional regarding health and safety qualifications.

Contractual Agreement

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must ensure:

- (a) That H&S clauses are built into the contract reflecting the nature of the work being carried out
- (b) That any health and safety matters relating to local conditions are explained to the service provider.
- (c) Any other relevant condition required under Class 1 are applied.

Co-ordination

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must, where applicable, inform the Building Manager / Responsible Person of the contract arrangements and give sufficient forward notice so that they can make necessary arrangements.

The Building Manager or Responsible Person must;

- (a) Arrange appropriate induction training for the service provider's employees where the service activities take place on occupied Council premises.
- (b) Ensure any hazards on the premises are identified to the service provider's employees.
- (c) Ensure occupants/users of the premises affected by the work are notified.

Monitoring

The Building Manager/Responsible Person, commissioning departments, or anyone commissioning on behalf of Southampton City Council must:

- (a) Check that the service provider has taken obvious precautions to avoid foreseeable accidents to Council staff, service users and members of the public
- (b) In liaison with the Requesting Officer, ensure the appropriate monitoring of the service provider is undertaken.

There is no need to record this monitoring formally, for example a note of the monitoring visit in a diary/daybook would suffice. However, if there is a particular problem with a service provider the issue must be formally recorded and brought to the attention of a line manager or senior manager (depending on the extent of the contravention). Any serious contraventions in Health and Safety practice should be reported on Southampton City Council's Health and Safety Management System as per SWP [Accident/Incident Reporting and Investigation](#)

Health & Safety Controls

The Requesting Officer must:

- (a) Undertake an initial check of statutory documents such as insurance certificates, Risk Assessments, and relevant H&S qualifications/certifications. Work should not be allowed to commence until a review of H&S documents has been undertaken by a competent person.
- (b) Ensure monitoring arrangements are in place
- (c) Review relevant H&S documents regularly as required during the life of the contract

CLASS 3 - Supply of service contracts that need particular health or safety measures to prevent significant risk of serious injury to the service providers' workforce, Southampton City Council staff or members of the public. *This class includes fixed-term and multi-site contracts.*

Examples

- (a) Grounds care, e.g. tree surgery, hedge trimming services etc.
- (b) Pest control
- (c) Internal cleaning service contracts
- (d) Hazardous waste removal services
- (e) Window cleaning operations (especially those involving work at height)

Selection

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must ensure;

- (a) That health and safety management competence is included among the criteria for choosing service providers. This should include requesting a copy of the Health & Safety Policy (mandatory for companies with 5 or more employees, desirable for companies with under 5 employees). A policy should include;

Part 1: Statement of intent

A statement of their general policy on health and safety at work, including their commitment to managing health and safety and their aims. It should be signed and reviewed regularly by the most senior person in the company.

Part 2: Responsibilities for health and safety

A list of the names, positions, and roles of the people in the business who have specific responsibility for health and safety.

Part 3: Arrangements for health and safety

This must give details of the practical arrangements they have in place, showing how they will achieve their health and safety policy aims. This could include, for example, doing risk assessments, training employees, and using safety signs or equipment.

Only service providers assessed for health & safety legal compliance by a competent person should be used. If unsure of the suitability of a service provider a Health and Safety professional should be consulted prior to engagement of the service provider or contractor.

- (b) Ensure that the service provider has a suitable and sufficient level of insurance in place for the work undertaken. Further information on risk management and insurance can be found on the [Risk and Insurance Microsite](#).

Contractual Agreement

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must ensure;

- (a) Before entering into or agreeing a contract for work, supply of goods or services potential contractors are provided with any health and safety information relating to the local conditions, such as existing hazards, restrictive work practices or special conditions at the premises or site. This will enable the contractors to complete their written risk assessments or health and safety method statements to explain how risks will be managed.
- (b) That H&S clauses are built into the contract reflecting the nature of the work being carried out
- (c) The service provider's risk assessments and method statements form part of the contractual agreement on how the contractor is to work safely

Co-ordination

The Premises Manager/Responsible Person, commissioning departments, or anyone commissioning on behalf of Southampton City Council, must:

- (a) Where the contract work or service takes place on occupied Council premises, arrange appropriate induction training.
- (b) Ensure any occupants of the premises affected by the work have been notified and suitable arrangements made as required.

The Requesting Officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must include health and safety matters in contract progress meetings; if Corporate Health & Safety Officers visit the service provider at work, their report(s) must be included for consideration during subsequent meetings.

Both the Requesting Officer, and the Building Manager/Responsible Person must, where possible for health and safety reasons, ensure the contractor's work is segregated from other users of the premises or site; this can be achieved in several ways, such as physical barriers or out-of-hours working.

Monitoring

The Requesting officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council must ensure suitable and sufficient monitoring of service providers or contractors is undertaken as follows:

- (a) for short, continuous work contracts (i.e. up to 1-week duration), where practicable, the works or place where the service is being provided should be visited to monitor for basic health and safety performance of the contractor.
- (b) for longer, continuous work contracts (i.e. those in excess of 1 week), the works or place where the service is being provided must be visited; the number of visits will depend on the degree of risk involved in the work or service provided and the past performance of the contractor.
- (c) for fixed-term contracts where a contractor occasionally but habitually visits premises, for example grass-cutting, window cleaning etc, then a set of sample visits are required during the term of the contract.

The Building Manager/Responsible Person, commissioning departments, or anyone commissioning on behalf of Southampton City Council, must, if the work area is on occupied premises, periodically visit a service providers work area to ensure that agreed Health and Safety arrangements are being adhered to; shortcomings must be notified as soon as possible to the service provider. Serious issues should be brought to the attention of a senior manager and the Corporate Health & Safety Service if appropriate.

Both the Requesting officer, commissioning departments, or anyone commissioning on behalf of Southampton City Council and the Building Manager/Responsible Person must keep records of monitoring.

H&S Controls

- (a) Clauses and penalties built into contract reflecting the level of risk of the work being carried out.
- (b) An initial check of documents including the service providers Health and Safety Policy, relevant H&S qualifications/certifications, and insurance documents.
- (c) A check of the service providers Risk Assessments by a competent person prior to work commencing.
- (d) Before the start of the work, a meeting must be arranged between the service provider, the Building Manager/ Responsible Person, and others as necessary, to review the health and safety arrangements and discuss how the work will be co-ordinated.
- (e) Annual check of H&S and insurance documents for ongoing service contracts
- (f) Regular meetings with the service provider during the life of the contract to include Health and Safety matters.
- (g) Documented Health and Safety monitoring throughout the contract.

APPENDIX 2 – CONTROL OF SERVICE PROVIDERS WORKING ON OCCUPIED PREMISES

When contractors come onto occupied Southampton City Council premises, they must be given appropriate health, safety, and welfare information. The Building Manager/Responsible Person must ensure that this is undertaken. Similarly, this occasion should be used to obtain from the service provider details about how their work may affect other building or premises users' health, safety, and welfare.

Signing in and out

All Service Providers' employees must sign in and out each day that they attend. This ensures that the Building Manager/Responsible Person knows who is on the premises for security purposes or if an emergency evacuation is needed. Signing in/out may be either by use of a book or by using bespoke or proprietary registers. The following minimum information is required:

- (a) Name of Service Providers employee on site.
- (b) Company represented.
- (c) Person being visited (host) – if applicable.
- (d) Vehicle registration number – if applicable
- (e) Time of visit.
- (f) Reason for visit
- (g) Time of leaving.

Signing in and out is required in addition to any other paperwork required for their attendance

Induction training

The Building Manager/Responsible Person must provide the contractor with induction training. Additionally the following local information must be given;

- (a) Parking arrangements.
- (b) Arrangements for daily signing in and out of the premises.
- (c) Emergency arrangements (e.g. fire, first aid etc).
- (d) Welfare arrangements.
- (e) Permitted smoking areas.
- (f) Accident and ill-health reporting arrangements (Events that are under the direct control or influence of Southampton City Council are to be reported to the Building Manager / Responsible Person who should then report this according to [SWP Accident and Incident Reporting and Investigation](#)).
- (g) Details of any activities being carried out on the premises that may affect their health, safety, or welfare.
- (h) Any factors relevant to their work
- (i) Any other local site rules.

Regular Service Providers

If the same service provider is coming onto the premises for several days in succession or they are regular visitors (for example contract cleaners, window cleaners), then there is no need to repeat induction training unless something has changed that will affect their work.

Some regular service providers can have high staff turnovers, for example contract cleaners, in this case it would be wise to give induction training to the company's manager/supervisor and permit them to pass this to their staff as required.

Information required from the service provider or contractor

Most of the planning of the service provider or contractors' work and the effect it will have on a building and its users should have taken place before the operatives arrive on site. However, the Building Manager/Responsible Person must be satisfied that the way the work will be conducted will not adversely affect the health, safety, or welfare of anyone using the building or premises.

Restrictions on service provider's movements

Except when entering or leaving, service providers should be requested to remain in the areas of their work or welfare facilities at all times whilst on the premises.

Leaving the premises

The Building Manager/Responsible Person must ensure that the service provider leaves the areas where they have worked in a safe condition. If this is not possible the areas must be suitably fenced off, warning signs posted, and affected people informed.

