

CONTRACTOR SAFETY MANAGEMENT PROCEDURE

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TRIM file number	
Short description	A procedure for managing the safety of contractors engaged by the Division of Facilities Management at Charles Sturt University
Relevant to	All staff of the Division of Facilities Management, including Project Managers on behalf of the Division, and the contractors (see definition) that they engage.
Authority	This Policy has been approved by the Executive Director, Division of Facilities Management in accordance with the Policy on Delegations and Authorisations
Responsible officer	Manager, Work Health & Safety (Facilities) Division of Facilities Management
Responsible office	Division of Facilities Management
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Related University documents	Work Health and Safety Policy Smoking in the workplace policy
Related legislation	Work Health and Safety Act Work Health and Safety Regulation Codes of Practice Workcover (NSW) and SafeWork Australia
Key words	Contractor, Consultant, Safety, Procedure, Work Health & Safety, WHS

PROCEDURE - CONTRACTOR SAFETY MANAGEMENT

Section 1 - Purpose

(1) To promote and adopt best practice in workplace health and safety, the University will engage with our contractors to ensure that proactive workplace health and safety practices fully meet the needs of our staff, our students and our visitors to ensure a safe workplace delivering quality educational outcomes. Contractor practices shall ensure that all relevant University policy and Work Health and Safety legislative standards are met or exceeded.

Section 2 - Glossary

(2) The term 'University' or 'CSU' means the Charles Sturt University

(3) CSU Site Supervisor means an employee of the University with delegation to supervise the contractor or consultant while they are on site. The site supervisor must ensure the contractor or consultant complies with all aspects of the relevant University policies, procedures and guidelines and, in accordance with Work Health and Safety Legislation, Standards and Codes of Practice. A staff member who engages a contractor is deemed a CSU site supervisor.

(4) Attendance at site/ Sign in register

- a. Manual sign in means a book of carbon copy tear out sheets to be issued as identification tags for contractors as described in the Categories below.
- b. Electronic sign in means a 'hot spot' terminal for contractors that have been issued with a CSU Contractor photo ID and access card.
- c. Contractors must sign in and out each day ie prior to commencing work and at the end of the works or shift. Identification tags will not be issued to category 3, 4 or 5 contractors without evidence of the completion of the University's general contractor online safety induction.
- d. Additional to the general campus sign in, contractors/ consultants may also be required to sign in directly at specific buildings or sites that have their own access requirements. The CSU Site Supervisor will provide these details as part of the contractor/ consultant engagement.

(5) Construction Work is defined per the Work Health and Safety legislation and includes any work carried out in connection with construction, alteration, conversion, fitting-out, commissioning, renovation, repair, maintenance, refurbishment, demolition, decommissioning or dismantling of a structure. It

does not include the maintenance or repair of a minor nature carried out in connection with a structure.

(6) General Construction Induction Training means undertaking an approved General Construction Induction Training course with subsequent issue of an Induction Card by a Work Health & Safety regulator. A person must hold a Construction Induction card prior to starting construction work.

(7) The Principal Contractor is the person appointed where the final price of the construction has an estimated value of more than \$250,000, or where appointment of a Principal Contractor has been prescribed by the University. Principal contractors have specific obligations under the Work Health & Safety legislation.

(8) Contractor means any person who enters a CSU premise to work or is associated with works as part of the University's business. This includes consultants, advisors, assessors, inspectors, third party vendors, stall holders, cable contractors and, equipment service personnel.

(9) CSU premise means any land which is owned, controlled, managed or occupied by the University together with any building, construction or facility of any kind, whether permanent or temporary, on that land and also includes any other building, construction or facility which is under the control or management of, or which is occupied by the University. This excludes any defined building sites under the control of a head contractor

Section 3 - Policy

(10) See CSU's [Work Health and Safety Policy](#) (00212).

Section 4 - Procedures

Scope

(11) This procedure applies to any staff member engaging a contractor or consultant to work or perform activities at the University and all those other deemed contractors as per the definition of contractor, to the University. It is applicable only to Australian premises managed by CSU. This procedure does not apply to activities being undertaken within a defined and bounded worksite that is under the control of an appointed Head Contractor.

Responsibilities

(12) The CSU Site Supervisor is responsible for the supervising the contractor or consultant while they are on site. The CSU site supervisor must ensure the contractor or consultant complies with all aspects of this procedure and other relevant University policies, procedures and guidelines. The CSU site supervisor must keep a copy of the safety assessment for the engagement in their records.

(13) The CSU site supervisor will also ensure that any works to University facilities or infrastructure are approved by The Division of Facilities Management. This includes any works associated with grounds, excavations,

penetration or abrasion of walls, access to ceiling spaces or sub floor areas or similar. A record of the approval must be kept as part of the works documentation.

(14) The Contractor must abide by the requirements contained within the engagement documentation and instructions from the CSU site supervisor. The contractor must conduct their activities in a safe manner, in accordance with the Work Health and Safety legislation, relevant Codes of Practice and CSU policies, procedures and guidelines.

(15) Finance / Procurement staff – will ensure that contractor safety requirements and assessments are included in all tenders (RFx) and engagement documentation.

Procedure Overview

(16) The Australian Work Health and Safety Act and Regulations sets out duties for Persons Conducting a Business or Undertaking (PCBUs), Officers, unincorporated associations, government departments and public authorities including municipal governments, workers and other people at a workplace.

(17) The Primary duty of care within the Work health and Safety Act requires all PCBUs to ensure, so far as is reasonably practicable, the health and safety of:

- a. workers engaged, or caused to be engaged by the person, and
- b. workers whose activities in carrying out the work are influenced or directed by the person, while workers are at work in the business or undertaking.

(18) This primary duty of care requires duty holders to ensure health and safety, so far as is reasonably practicable, by eliminating risks to health and safety. If this is not reasonably practicable, risks must be minimised so far as is reasonably practicable.

(19) PCBUs owe a similar duty of care to other people who may be at risk from work carried out by the business or undertaking.

(20) Contractors are engaged for a variety of activities and services. Some may be classified as high risk activities. The University places a high priority on ensuring that these risks are eliminated, or if not reasonably practicable, minimized.

(21) Charles Sturt University, by setting and maintaining high health and safety standards expect the same from our contractors. This document establishes the procedures to be followed when engaging a contractor to the University. This procedure becomes an instrument to support the University's commitment to the health and safety of our staff, students and visitors.

(22) The University, by the nature of our business, has a number of compliance requirements in addition to those of the Work Health & Safety legislation. These are vital for the University to continue registration of facilities and approval to undertake certain activities and maintain our excellent reputation. These specific requirements will be contained either

within the contractors engagement documentation or provided in a site specific induction. These include laboratories and other specialist areas.

Procedures

(23) Risk Management is integral to all activities at the University. All activities must be assessed for risk (see the University risk management framework) prior to the commencement of work or the engagement of any contractor or consultant.

(24) Contractor Attendance at Site/ Sign in Register. A number of Attendance at site/ Sign in registers are located across the University. As part of the contractors' engagement they will be directed to the appropriate location by their CSU Site Supervisor.

Contractor categories

(25) The University engages and interacts with a wide range of contractors in the conduct of our business and the operation of our premises.

(26) Five categories cover the majority of contracting situations at the University and the category type determines the manner of induction, identification and site registration required for contractors.

Contractor Category 1 – Light deliveries

(27) Light deliveries are typically by couriers of mail and small amounts of supplies that are generally able to be handled by one person without using powered lifting equipment or forklifts.

(28) Typically, the risks are generally 'low' for light delivery activities and the 'delivery' is generally to a person or general office or the University's 'Central Stores/ Mail room'. These deliveries are usually small, frequent and to areas accessible to 'visitors'. Many of these deliveries are not planned arrivals

(29) Requirements: Category 1

- a. Common applications: Mail, couriers, small suppliers
- b. Induction: Nil
- c. Identification: Uniform and/or company ID:
- d. Attendance at site/ Sign in: Nil (unless entering hazardous, controlled or restricted area)
- e. Key controls:
 - i. Clear signage e.g. 'All deliveries and couriers must report to reception'.
 - ii. Clear travel route to approved delivery point e.g. colour coded path or map
 - iii. Limited/ controlled entry points to other (low risk) areas

- iv. If there is a need to proceed past reception unattended, issue short relevant instructions eg site safety rules card or specific route to take and key 'do's and don'ts' for delivery activities
- v. Monitoring of delivery activities for compliance

Contractor Category 2 – Heavy or bulky deliveries

(30) Heavy deliveries often involve cranes, forklifts or other significant manual handling equipment to load or unload trucks. The goods are usually heavy, large or both. These deliveries usually take less than 1 hour to unload and are usually pre arranged.

(31) Requirements: Category 2

- a. Common applications: Usually involves handling equipment such as forklifts, cranes or multi person lifts
- b. Induction: Local only
- c. Identification: Uniform and/or company ID
- d. Attendance at site/ Sign in: Nil (unless entering hazardous, controlled or restricted area) but must be under constant supervision
- e. Key controls:
 - i. Site safety plan for vehicle and unloading
 - ii. Ensure system for appropriate level of supervision for delivery activities.
 - iii. Instruction for delivery printed on purchase order or provided when order is placed
 - iv. Prominently display contact information at delivery/ unloading areas
 - v. An unloading (or loading) safety plan must be documented prior to the loading/ unloading activity proceeding.

Contractor Category 3 - Consultants and contract workers

(32) Consultants and contract workers can include labour-hire, contract security personnel, auditors, volunteers. Workers in this category may be short or long term and in office or manual work areas. This category particularly addresses the requirements of vendors and stall operators for CSU events, and any other vendors operating on CSU grounds.

(33) Requirements: Category 3

- a. Common applications: Labour-hire, long term contracts for cleaning and maintenance etc, security personnel, auditors, volunteers, gardeners, vendors and stall operators, service vendors
- b. Induction: All contractors that may be working unaccompanied are required to undertake contractor online safety induction. Where the

contractor is inspecting, consulting of carrying out construction works, a construction induction card will also be required

- c. Identification: CSU daily badge/ tag
- d. Attendance at site/ Sign in: Nil (unless required by work area).
Consultants and ad hoc contractors yes
- e. Key controls:
 - i. Insurances, Licences, Registrations and Certificates - The CSU supervisor must ensure that contractor's or subcontractor's employees possess the insurances, licences, registrations and certificates required by Federal, State or local legislation.
 - ii. Established procedures
 - iii. Documented ongoing review

Contractor Category 4 - Minor works, Programmed Works and Maintenance

(34) Minor works may include building maintenance, cleaning, repairs, various trade or technical work and minor modifications. Many of these activities are conducted in close proximity to staff work areas, student residences and other teaching and research areas.

(35) Requirements: Category 4

- a. Common applications: Building maintenance, cleaning, repairs, various trade or technical work and minor modifications, audio visual repairs, cabling etc
- b. Induction: CSU Contractor Safety Induction. Record of the induction must be kept by the contractors CSU Site Supervisor
- c. Identification: Must wear either CSU contractor ID tag or contractor identification (CSU Contractor photo ID / access card issued by Facilities Management
- d. Attendance at site/ Sign in: All contractors must register on a daily basis.
- e. If the contractor will be involved in "Construction Work" as defined by the WHS Act 2011, each individual must produce a evidence they hold a valid 'general construction induction card' prior to being issued with a CSU Contractor ID card or registration.
- f. Key controls:
 - i. Preference for the use of contractors / vendors from the University's procurement panel
 - ii. Signage directing contractors to the 'Attendance at site/ Sign in' register locations
 - iii. Periodic license and certification checks

- iv. Permit to work system, including authority to commence work for hot works, work at heights, confined spaces etc.
- v. Safe Work Method Statements for high risk work submitted, supervision,
- vi. Online Induction 'certificate of completion' sited by CSU contact person
- vii. Insurances, Licences, Registrations and Certificates. The CSU site supervisor must ensure that contractor's possess the insurances, licences, registrations and certificates required by Federal, State or local legislation for the activities to be undertaken.

Contractor Category 5 - Major works (where the principal contractor is other than CSU)

(36) Major Capital works are usually typified by new building constructions which are fenced off (secure) and access is controlled by the principal contractor, but can also include refurbishments, installation of major items of plant and facility extensions.

(37) Requirements: Category 5

- a. Common applications: Construction works valued over \$250,000 and/or where a principal contractor has been appointed to manage the works. New buildings, major grounds works, major modifications.
- b. Induction: As required by the principal contractor, but including 'Working at CSU' information. Must also complete the CSU Contractor Safety Induction if works are to be conducted external to the established site or access to the defined work site is through a CSU work area.
- c. Identification: Must wear company ID or be readily identifiable when outside the construction area. When working outside of the construction site, the contractor must wear CSU contractor ID and sign in to the campus
- d. Attendance at site/ Sign in: As required by the principal contractor at worksite. CSU sign in for works external to defined worksite
- e. Key controls:
 - i. Sighting of certificate of competition of CSU Contractor general safety induction by CSU contact person
 - ii. Safety Plan for the project
 - iii. Contract specifications include WHS standards
 - iv. WHS evaluated as part of tender process
 - v. Selection based on capacity and willingness to comply with WHS requirements planning and consultation procedures

- vi. Project KPIs and monitoring and reporting processes documented roles and responsibilities, including shared areas communication processes e.g. Incidents or faults
- vii. Risk assessment of all phases of project, including pre-project periodic audit system to ensure compliance.
- viii. Insurances, Licences, Registrations and Certificates - The CSU project manager or supervisor must ensure that contractor's or subcontractor's employees possess the insurances, licences, registrations and certificates required by Federal, State or local legislation.

Tendering / Procurement requirements for some Category 3 and all Category 4 and Category 5 contractors

(38) The following procedures must be followed when engaging a category 4 or 5 contractor or subcontractor and category 3 contractor consultants that will undertake physical (construction, analysis, testing) works or other similar activities.

(39) Contractor Safety Record(s) - Contractors must provide details of their safety record as well as their technical and commercial ability for consideration when their suitability for the proposed work is assessed. Additional information may include any WorkCover breaches, Provisional Improvement Notices (PINs) issued, safety prosecutions or injury/ accident records.

(40) CSU Safety Requirements - The written contract, even if this is only a letter of engagement to carry out the specific task, must include information about CSU's specific safety requirements.

(41) Insurances, Licences, Registrations and Certificates - The CSU project manager or site supervisor must ensure that contractor and workers possess the insurances, licences, registrations and certificates required by Federal, State or local legislation to perform the works.

(42) Standard Work Procedures - Particular attention must be paid to lockout or tag out procedures. Where relevant, copies of the contractor's written standard work procedures must be provided, particularly if the work to be carried out is unusual or site specific.

(43) Supervision - The University appointed CSU site supervisor, must arrange for the work of any contractor to be monitored and supervised to ensure their compliance with standard safe work procedures and University procedures. The person hiring a contractor has duties under the Work Health & Safety legislation to ensure works are conducted in a safe manner.

(44) Feedback – Any person with concerns about the safety of works being conducted should provide details to the nearest CSU staff member to report. The CSU site supervisor will document, investigate and provide a copy of the report to ohs@csu.edu.au within 24 hours.

(45) Reporting Incidents, Injuries and Property Damage – All Contractors must be advised that all incidents, injuries or damage to property must be

reported to their CSU Site Supervisor. The CSU Site Supervisor will provide a copy to the Division of Human Resources within 24 hours.

(46) Emergency Procedures - Campus specific emergency procedures must be explained to all contractors. They will be required to take part in practice drills should they occur when the contractor is on a CSU premise.

(47) Environmental Protection - CSU's environmental requirements must be clearly outlined and specific requirements or expectations be contained in the engagement documentation. See www.csu.edu.au/csugreen

(48) Property Security - Contractors must be made aware that they are responsible for the security of their own property while on a CSU premise.

(49) Other considerations for minor works maintenance contracts:

- a. Written Contract - A long term contractor's contract must include more than a directive to work safely. It must detail all the requirements of compliance with the University's Workplace Health and Safety Policy and other relevant policies, procedures or guidelines applicable to the contact of the works.
- b. Personal Protective Equipment - All contractors and d their workers must provide and wear the recommended personal protective equipment as stated in the SWMS for the tasks that they are undertaking.
- c. Incidents, Injuries and Property Damage – Any incident requiring the Fire, Police or Ambulance must be reported to 000 immediately. As well as the necessity to report incidents, injuries and property damage, such incidents involving contractors must be the subject of a full investigation. Causes of the incident or injury should be discussed and remedial action to prevent a recurrence determined. The incident must also be included for discussion in the next Contract or Site Meeting. Investigations will be conducted by the head contractor and the CSU Site supervisor. Other experienced persons may also be coopted to assist to obtain a thorough investigation and make recommendations.
- d. CSU requires written notification and the contractor must receive approval prior to any changes to the agreed works or safety plan.
- e. Considerations when requesting tenders for major works projects
- f. When tenders are called for major projects such as new plant, construction or equipment installation, it is essential that health and safety management forms an integral part of the contract. The following areas should be considered in addition to the above requirements:

(50) The RFX (Request for Tender (RFT), Request for Quotation (RFQ), Request for Information (RFI), Request for Proposal (RFP). The call for an RFX must include a request for evidence / or copy of the prospective contractor's health and safety management plan covering both their own workers and all subcontractors including a history of their injury experience for the past five years.

(51) Selection of Head /Managing/ Principal Contractor. The final choice of contractor should be based not only on their price, technical and commercial competence, but wherever possible on such issues as:

- a. a good record of health and safety performance
- b. active program for the management of subcontractors which the contractor may engage
- c. demonstration of a Work Health and Safety management plan and well controlled worker's compensation costs
- d. compliance with legislation, codes of practice and Australian standards
- e. demonstration of the contractor's senior management commitment to the health and safety program.

(52) Advice on the appropriate safety requirements for contractors can be sort from the Manager WHS (Facilities), Division of Facilities Management. Safety must be considered to be an aspect of quality management and have similar weighting with scheduling and costs.

(53) For significant contracts, managers should visit the contractor's facilities to observe how the business is being operated and to question senior management on their role and attitude to safety, among other topics.

The Contract

(54) The written contract must contain details of the safety requirements applicable to the project. These details must be agreed by all parties before the contract is awarded and must include an outline of how the safety plan will be administered.

(55) The objectives of the safety clauses in the contract are to:

- a. promote a proactive safety culture and best practice safety processes
- b. clarify responsibilities
- c. ensure compliance with regulations
- d. minimise incidents and injuries to contractors and subcontractors and damage to property
- e. ensure proper induction of contractors and subcontractors
- f. promote safety reporting and opportunities for continuous improvement
- g. ensure incidents and hazards are properly investigated and ensure plant and equipment is maintained in good condition.
- h. provide a sample of a checklist developed for assessing the prospective contractor's Workplace Health and Safety program.

(56) Ongoing management of safety performance.

- a. There must be an agreed procedure for ongoing management of the workplace health and safety aspects of the project which should include some or all of the following points:
- b. CSU management must assign responsibility for co-ordination of this activity to one of its key people involved in the project.
- c. Regular liaison must take place between nominated project co-ordinators to review health and safety issues.
- d. Work health and safety consultation must be documented
- e. All incidents, injuries and property damage must be investigated jointly and remedial actions developed.
- f. Regular safety inspections must take place involving representatives from relevant parties.
- g. Contractor induction training, the need for ongoing project or task specific Work Health and Safety training should be reviewed on a regular basis and implemented when required.

References

- (57) CSU Work Health & Safety Policy <http://www.csu.edu.au/about/policy>
- (58) Guide to the Model Work Health & Safety Act, WorkSafe Australia, 2012 <http://www.safeworkaustralia.gov.au>
- (59) Work Health & Safety Act 2011 (NSW) <http://www.legislation.nsw.gov.au/maintop/view/inforce/act+10+2011+cd+0+N>
- (60) Work Health & Safety Regulation 2011 (NSW) <http://www.legislation.nsw.gov.au/maintop/view/inforce/subordleg+674+2011+cd+0+N>
- (61) Work Health and Safety Legislation as per each Australian State or Territory <http://www.austlii.edu.au/>

Acknowledgement of contribution to the following Universities for their assistances with this procedure

- (62) University of Southern Queensland - Contractor Management Policy
- (63) University of Newcastle - Contractor Management Policy
- (64) University Technology Sydney - WHS Policy

Keywords

- (65) Contractor management, risk management, contractor, safety assessment, induction, WHS.

Section 5 - Guidelines

- (66) Nil.