CONTRACTOR HEALTH AND SAFETY MANAGEMENT PROCEDURE

***SECTION 3*** *Framework for Health and Safety Management*

PURPOSE

***PROCEDURE***

This procedure provides guidance and information to enable the health and safety management of contractors and sub-contractors working on behalf of the organisation.

The objective of the procedure is to ensure a systematic approach to the management of contractors so that the risks to the health and safety of contractors, staff and the general public are controlled as far as reasonably practicable.

GENERAL REQUIREMENTS

This procedure is designed to be scalable and applies to all contractor engagements by the organisation. Some processes (such as capital works projects) may have more stringent requirements, however the general steps outlined within must be followed.

### DEFINITIONS

**Contractor:** The person and their employees/subcontractors, who are responsible for performing the work, and/or supplying the plant and materials associated with these works.

**Responsible Person (RP):** The organisation’s representative with overall responsibility for engaging, managing, monitoring and evaluating the work or services provided by the contractor.

CONTRACTOR MANAGEMENT PROCESS

The Contractor management process involves 4 stages:

 Prequalification;

 Tender evaluation;

 Contract monitoring; and

 Contract conclusion.

### PRE-QUALIFICATION

Prequalification requirements vary depending on whether the Contractor is included on a services panel, or has been validated by the organisation previously, or has never been contracted by the organisation in the past.

All contractors must be assessed and validated before they are permitted to commence any work.

The only exemption to this requirement is during a critical incident.

All contractors who are included on contract panels are exempt from the prequalification and tender evaluation stages of the contractor management process. This is because their health and safety management systems will have been assessed and deemed satisfactory previously by the organisation.

### APPROVED CONTRACTOR REGISTER

The organisation may maintain a list of contractors who have had their health and safety management systems assessed by the organisation. This list should in no way exclude any new contractors from being engaged, however all contractors that perform work for the organisation must be included on the approved contractor register.

Once the RP has assessed and engaged the contractor, the required information should be forwarded to the Health and Safety Manager (or equivalent) so that the approved contractor register may be updated.

### CONTRACT HEALTH AND SAFETY RISK CLASSIFICATION

Before the RP engages a contractor or submits a request for tender, the health and safety risk level of the services or works must be established.

The Contractor Classification and audit frequency Guidance attached to this procedure provides instruction on determining whether a contract is high or low risk and at what intervals the contractor should be audited on health and safety performance.

### CONTRACTOR EXPECTATIONS

The organisation shall establish a set of standards that are expected from contractors and subcontractors. These should be provided to the contractor with the request for tender or quote to assist with their contract tender preparation.

### CONTRACTOR HEALTH AND SAFETY QUESTIONNAIRE

To assess the status of the contractors health and safety management processes, a Contractor Health and Safety Questionnaire should be completed. Template questionnaires for the high and low risk contractors are attached to this procedure.

If the contract was deemed as high risk then a high risk questionnaire should be completed by the contractor and provided with their tender offer. If the contract is considered low risk then a low risk questionnaire can be completed by the contractor.

The completed questionnaire should be kept on file by the RP for at least the duration of the contract. A copy should be sent to Health and Safety Manager (or equivalent) so that the contractor can be added to the approved contractor register. All completed

questionnaires are deemed commercial-in-confidence and are to be treated accordingly.

The RP should use the Contractor HS Questionnaire Assessment Guidance sheet to assess the completed questionnaires. Each criteria has examples of evidence provided and the types of documents that the RP should be provided with by the Contractor.

Where criteria deemed ‘Best practice’ are not met, this will not necessarily exclude a contractor that cannot fulfil the requirements. “Best Practice “criteria are included as they

indicate a robust HS management system which may be scored preferentially in tender assessments. Criteria that are ‘Mandatory’ must be satisfactorily met by the contractor before they can be engaged by the organisation.

If at any time the RP is unsure whether the Contractor conforms to the organisation’s health and safety expectations, assistance may be sought from the Health and Safety Manager (or equivalent).

### TENDER EVALUATION

Prior to awarding a contract the RP shall determine whether the contractor conforms to the organisation’s health and safety standards. The contractor may be given feedback on its tender

offer and allowed an opportunity to remedy any deficiencies at the RP’s discretion.

Once the contractor’s health and safety management processes have been deemed acceptable, the tender offer may be evaluated on other relevant aspects. This process is to be completed in accordance with the organisation’s procurement processes.

CONTRACT PERFORMANCE MONITORING

Once a contractor is engaged a level of supervision and oversight is required from the RP during the life of the contract or engagement. This involves four stages:

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 Pre-Start Risk and Planning

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 Induction

 Inspection and Auditing

 Performance reporting.

### PRE-START RISK AND PLANNING MEETING

Before the contractor commences work a Risk and Planning Workshop should be held involving the RP and the contractor. The scope and duration of this meeting will be dictated by the type of contract and level of risk involved.

Topics to be discussed may include:

 Health and safety expectations and the contractor’s understanding

 Health and Safety management plan (where relevant)

 Induction requirements

 The organisation’s permit to work systems

 Inspection and audit activities, to include frequency of inspection/audit

 Health and safety incident and performance reporting requirements

 Non-conformance and corrective action process.

JSEA’s, SOPs or work instructions must be provided to the RP prior to the commencement of work where the need is identified by the RP.

Documents shall be reviewed by the RP to ensure that they reflect the nature of the work and are adequate for the risk level involved. This review should also be undertaken periodically throughout the life of the contract.

Health and safety documents used by contractors must be site specific and the RP shall review the documents to ensure that consistency with the work being undertaken.

### INDUCTION

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The RP shall ensure that a health and safety induction is completed in line with the organisation’s requirements and established processes. This may include both organisational and site specific inductions. Inductions shall be provided to ensure that relevant information about site specific hazards and other activities is communicated appropriately. Records of inductions shall be retained.

***PROCEDURE***

### INSPECTION AND AUDITING

The RP (or representative) shall conduct inspections and oversight audits of the contractor conforming to the frequency established at the risk planning meeting. Random audits may be conducted at any time at the RP’s discretion.

Audits shall be completed using the Health and Safety Inspection Checklist. The Health and Safety Manager (or equivalent) is also available to assist with auditing activities.

Any observed non-conformances should be documented in the Non-Conformance Report (link here) and a copy provided to the contractor with details of the required corrective actions.

Serious or repeated breaches of required health and safety standards or legal obligations may result in the issue of a formal contract breach notification.

### PERFORMANCE REPORTING

When requested, the contractor shall provide the RP with a report on their health and safety performance. The frequency and content of this report will vary depending on the scope of works however the Contractor Monthly HS Report may be used as a guide.

Where an injury or incident has occurred to a contractor’s employee or subcontractor, notification must be communicated to the RP within 24 hours (unless it is a serious incident, in which case it must be reported immediately).

It is the contractor’s responsibility to notify WorkSafe NZ of any serious incident involving their employees or subcontractors, within the required timeframes. They must also notify the RP as detailed above.

Any WorkSafe NZ inspection or correspondence relating to the contract should be reported to the RP immediately. Corrective actions resulting from any WorkSafe NZ inspection shall be reported by the contractor to the RP in writing.

### CONTRACT CONCLUSION

Once the contact activities have been completed the RP shall provide feedback to the contractor in relation to their health and safety performance. The feedback shall be summarised and made available for RP’s to reference prior to future work or engagement of the contractor.

RESPONSIBILITIES

### RESPONSIBLE PERSON

The RP is ultimately responsible for managing and coordinating the contract for the duration of the contract life. Other specific responsibilities include (but are not limited to):

 Assessing the competence of contractors to meet any identified health and safety requirements or specifications. This includes licences, qualifications and relevant approvals.

 Ensuring contractors are inducted so that they are aware of the organisation’s health and safety expectations and also any site specific hazards and risks.

 Monitoring the performance of the contracted work and initiate corrective actions to remedy any deficiencies.

 Maintaining copies (electronic or otherwise) of all checklists, forms and reports that document the duty of care performed by the RP.

### CONTRACTORS

Contractors have the responsibility to manage the health and safety aspects of their work, ensure the health and safety of their own workers and that their work activities do not affect the health and safety of the organisation’s personnel, other contractors

or visitors.

Contractors are also required to observe the organisation’s health and safety requirements as well as any other requirements which may be identified in the site induction process.

ATTACHMENTS

Attachment 1 - Contractor Classification Guidance Attachment 2 - Contractor HSE Questionnaire – Low Risk Attachment 3 - Contractor HS Questionnaire – High Risk

Attachment 4 - Contractor HS Questionnaire Assessment Guidance

Attachment 5 - Risk and Planning Workshop Agenda Attachment 6 - Site Induction Checklist

Attachment 7 - Contractor Monthly HS Report Attachment 8 - Site HS Inspection Checklist Attachment 9 - Non-conformance Report Template