

Contractor Management

1. Purpose
2. Definitions
3. Scope
4. Roles and Responsibilities
5. Procedure
 - 5.1. Selection of Contractors
 - 5.2. Induction
 - 5.3. Onsite Management
 - 5.4. Risk Management
 - 5.5. Hazard/Incident Reporting
 - 5.6. Site Safety Inspections and Observations
6. Record Maintenance
7. Performance Measures

1. Purpose

The intent of this procedure is to ensure a systematic approach is applied when selecting and managing contractors to prevent or minimise potential health and safety risks.

The University and contractors must ensure that risks related to the conduct of contractors and works impacting facilities, are suitably managed and controlled. This includes:

- ensuring health and safety management is a key criteria in the selection of contractors
- identifying hazards and mitigating risk at the design stage to ensure safe systems of work
- ensuring appropriate selection and safe use of equipment and substances
- providing adequate information, instruction, training and supervision
- consulting with other duty holders who have a WHS duty in relation to the same matter.

2. Definitions

Registered Contractor – a person, organisation, their employees or representatives who have met pre-qualification selection criteria, including WHS criteria, to carry out work for the University in a ‘Contract for Service’ arrangement.

Service Contractor - a person, organisation, their employees or representatives engaged to carry out work for the University in a ‘Contract for Service’ arrangement who have not registered via a pre-qualification process.

Contracted Service Provider – an organisation/company engaged by the University under a formal contractual agreement to provide a defined scope of services (generally a long term service contract i.e. cleaners, security, consultants).

Contract for Service – is likely to apply where the nature of the engagement involves a profession or trade, the contractor has the power to recruit and dismiss their employees, the contractor provides plant, equipment and materials to complete the work, the contractor has the right to have another person perform the work, the University does not have direct supervision over the person performing the work, the University does not have responsibility for deducting income tax from any payments.

Contractor Register – a register of approved contractors who have met the pre-qualification selection criteria, of which details are maintained on the Facilities Management Unit [Contractor and Consultant](#) website.

Contract Supervisor – a person (university staff member) nominated within a school/institute/unit/centre who is responsible, on behalf of the University, to engage and administer a contract for service that is provided within their area of responsibility.

Principal Contractor – is a person conducting a business or undertaking (PCBU) that commissions a construction project or engages another PCBU as the principal contractor authorising it to have management or control of the workplace and to discharge the duties of a principal contractor.

Contractor Safety Evaluation – a process of evaluating the contractor’s suitability against defined health and safety criteria prior to engagement.

Sub-Contractor – engaged by the main contractor to perform a specific task as part of the overall project/works.

3. Scope

This procedure outlines the minimum requirements for the management of health and safety for all contractors providing a contract for service at university workplaces. The University engages a wide range of contractors ranging from, but not limited to:

- major and minor capital development
- large and small building refurbishments
- contract service providers
- routine maintenance and upgrade of building assets and infrastructure
- scheduled maintenance or repair of local plant or equipment used in teaching, research and supporting areas

4. Roles and Responsibilities

The University, as a ‘*Person Conducting a Business or Undertaking*’ (PCBU) has a health and safety duty to a contractor or sub-contractor who are deemed ‘*workers*’ under the WHS Act 2012 (SA) to eliminate or minimise risks to health and safety, so far as is reasonably practicable.

Contract Supervisors have a responsibility to:

- understand and implement the requirements of this procedure in their area of responsibility
- ensure acceptable risk controls are implemented throughout the duration of contract works to eliminate or minimise injury
- seek expertise as required through engaging other stakeholders
- ensure that university and legislative requirements are met prior to the start of work
- ensure a process of consultation is established with other duty holders who have a WHS duty in relation to the same matter
- ensure records of implementation are maintained.

Heads, Directors and Managers have a responsibility to:

- ensure the requirements of this procedure are understood and implemented in their area of responsibility
- ensure Contract Supervisors who are nominated to engage and administer local contracts understand and accept responsibility for works engaged on behalf of the University
- ensure the local area consults with FMU regarding building related works or ISTS regarding computer network works in their area to ensure suitable selection of a registered contractor.

All defined contractors in this procedure are regarded as ‘Workers’ under the WHS Act 2012 SA and have a WHS duty to:

- take reasonable care for his or her own health and safety
- take reasonable care that his or her acts or omissions do not adversely affect the health and safety of other persons
- comply with contract work arrangements and any other reasonable instruction that is given by the University
- comply with the relevant legislative requirements.

5. Procedure

5.1 Selection of Contractors

The University 'Guide to Selecting and Engaging Contractors for Onsite Works' describes a step by step process to be followed by schools/institutes/units/centres prior to selecting and engaging a contractor. The Guide underpins the requirements outlined within this procedure to ensure university risk management protocols relating to contractors are adhered to.

The [Contractor Register](#) must be accessed to identify a suitable Registered Contractor to engage in a Contract for Service.

Local workplaces are responsible for 'furnishing' their respective spaces with all items required to support teaching, research and general working activities. This includes items such as furniture, laboratory and workshop equipment and in some cases, specialist furniture. Such items generally require scheduled or corrective maintenance activities to safeguard the ongoing operation of the items and business activities of their particular area.

The University has identified various hazards associated with contractors and recommended control measures that are designed to eliminate or minimise risk. This information is detailed within the University Checklist '**Risk Management for Contractors Engaged Locally**' and should be referred to by the local workplace prior to engaging a contractor for the first time.

Where the Contractor Register does not include the type of contractor required for the work to be undertaken, the workplace may directly engage the services of a suitable contractor. In this instance, the workplace must evaluate the selected contract company prior to their engagement to ensure they meet minimum requirements of the University, including possessing current insurances and demonstrating they have a health and safety management system in place. Refer to the '[WHS Contractor Safety Evaluation Checklist WHS76](#)' for completion.

NOTE: A Registered Contractor must be engaged through FMU for any works which involves additions, alterations or modifications to building fabric, structure or services.

5.2 Induction

It is a University mandatory requirement that **all** contractors complete the online induction program '[Working Safely at UniSA](#)' accessible from the University website, in advance of the service contract commencement date. The program incorporates detailed information outlining the requirements of health and safety when working on university premises. The '[Working Safely at UniSA Contractors Manual](#)' is also available for contractors to download.

Prior to any works commencing for the first time, all contractors must participate in a safety site induction to ensure any hazards specific to the work tasks/work environment and methods for control are identified, communicated and addressed.

Depending on the type of contract for service, the following safety induction checklists are provided for use by Contract Supervisors. A record of completion must be maintained.

- **Contractor Safety Site Induction Checklist WHS28**
 - Designed for contractors engaged for a defined period, ad hoc or single visit.
- **Contract Mobilisation Checklist WHS28A**
 - Designed for 'onboarding' of contracted service providers engaged under a formal contractual agreement, generally ongoing over a longer term (i.e. cleaners, maintenance staff). Induction is implemented in three (3) stages to align with the mobilisation of the contract, for example:
 - Stage 1:** higher level as a company following the contract being awarded
 - Stage 2:** secondary level as contract representatives start to work together
 - Stage 3:** finally involving on-site safety induction of intended contract staff who may be required to work across campuses and buildings.

NOTE: Where local safety site induction requires specific and specialised information to be provided to the contractor due to the type of work and risk involved (i.e. ISTS Data Centres with VESDA), the induction may be provided through other methods while ensuring key aspects of the WHS28 checklist are incorporated and records of completion are maintained.

Where the University commissions a construction project requiring a Principal Contractor, Facilities Management or another PCBU (where engaged by the University as the Principal Contractor), must ensure each person involved in carrying out work in connection with the project i.e. Registered Contractor's employees and sub-contractors, participate and complete the mandatory online program '**Working Safely at UniSA**'. They must also be inducted to the worksite, informed of the WHS Management Plan for the project and site-specific work health and safety rules prior to commencing work for the first time.

The University and the Principal Contractor must consult, cooperate and coordinate activities relating to a construction project, including participating in start-up and progress meetings.

5.3 Onsite Management

The Contract Supervisor must ensure the contractor is informed to report to the campus FM Assist office on the first day of the contract commencement and provide photo ID (preferably a driver's licence). A contractor ID badge and any required keys will be issued following confirmation that the online induction program has been completed. The local workplace must advise Security if and where site access is required. All contractors must sign in and out daily at the FM Assist office or a designated location nominated for a construction project for the period of the contract works. Contractor identification must be worn at all times while on campus.

NOTE: Where daily sign in has not been identified as a requirement for the type of contract (e.g. some long term contract service providers), the Contract Supervisor must communicate this as part of the induction.

The Contract Supervisor must ensure that any planned works in a restricted area is notified to FM Assist and approval sought from the Campus Facilities Manager (in consultation with the responsible person of the specific area) prior to any work commencing. This includes specialist advice on entry requirements and work procedures eg. PC2 and PC3 laboratories, chemical stores, radiation stores, biohazard rooms, roof access, high voltage sub stations, data centres and microwave dishes.

5.4 Risk Management

The University takes a pro-active approach to risk management that includes anticipating hazards, planning ahead and implementing control measures before work starts or any significant exposure to risk occurs. It is expected that all contractors and their sub-contractors adopt the same approach.

Examples of when a pro-active risk management approach is applied at the University includes:

- at the building pre-design stage of construction and/or refurbishment (refer to the University [Safety in Design Principles](#) and the University [Design and Construction Specifications](#))
- when planning routine maintenance and upgrade of building assets and infrastructure
- when planning fit out of furniture and equipment to support teaching, research and general work activities
- prior to conducting routine maintenance or repair of local plant or equipment used in teaching and research (using manufacturer's manuals as guidance).

A Contract Supervisor must ensure the contractor provides evidence of how they have assessed the risks associated with the planned service/works and the method for control, prior to and throughout the duration of the contract works. Consideration of any potential impact on the University community must also be identified and controlled. Evidence may be in the form of a risk assessment, safe operating procedure, safe work method statement, site safety plan etc. that is reviewed by the Contract Supervisor, in consultation with the campus WHS Consultant where necessary, to ensure it reflects the nature of the contract works and any legislative requirements.

It is the responsibility of all contractors to provide and wear the appropriate protective clothing required for the type of work and conditions.

Where the University has engaged a Principal Contractor for a construction project, the Contract Supervisor must obtain a copy of their WHS site management plan. Such plans provide information regarding the management of risks during works being carried out. In addition, where the construction project involves, [high risk construction work](#), a copy of the Safe Work Method Statement (SWMS) for this work must also be obtained for review.

The Contract Supervisor must ensure that a **Contractor's Permit to Work WHS27** is completed by the contractor and authorised by the Campus Facility Manager prior to the commencement of any hazardous operations i.e. hot works, work in confined/ restricted spaces, work at heights or other potentially hazardous activities and records maintained. Contractor competency must have been verified when engaged.

The Contract Supervisor must communicate with other relevant University personnel in advance of works commencing including:

- FM Assist where contract works involves hazardous work or any required building related works to ensure that all compliance and building integration aspects are addressed
- Head/Director where the work may impact the health and safety of staff, students or others
- ISTS regarding any hardware, software or computer network implications in their area to ensure that business continuity and network impacts are assessed.

The Contract Supervisor must inform the contractor to cease work and immediately contact FM Assist where hazardous materials are identified on-site that have the potential to impact on work. The contractor must be advised to wait for further instruction before any work is to be recommenced.

The Contract Supervisor must ensure a contractor maintains the work site in a neat and tidy condition and secured in such a way as to prevent unauthorised entry by staff, students and others at all times.

5.5 Hazard/Incident Reporting

The University requires reporting of hazards and incidents (near misses and injury/illness) within 12 hours of occurrence so that every opportunity can be taken to prevent or minimise injury. This timeframe also ensures timely reporting of dangerous incidents or serious injuries to the relevant Regulator.

The Contract Supervisor must inform the contractor to immediately report, in the first instance, details of any identified hazard that cannot be easily fixed or incident/injury that occurs on site to:

1. Security on **88888** (internal campus phones) or **1800 500 911**
2. the nominated Contract Supervisor.

Details of the hazard or incident must be logged into the University online [Hazard/Incident Reporting & Investigation System](#) by the first or most relevant university representative on site to ensure every opportunity can be taken to prevent or minimise injury. Prompt reporting allows the University to meet the required regulatory reporting requirements. The Contract Supervisor or their nominated representative shall lead an investigation into the circumstances of the incident in consultation with the contractor (or their nominated representative) and ensure any corrective action is taken to prevent a recurrence. Investigation findings must be logged in the online investigation form.

In the event of a serious incident, Security and the Contract Supervisor must ensure, so far as is reasonably practicable, that the site where the incident occurred **is not disturbed until further advice is received from the regulator**. Security staff are first aid trained and can provide emergency medical assistance. Emergency services will be requested where required.

The Contract Supervisor must contact the [University Safety and Wellbeing Consultancy team](#) immediately on **8302 2459** office hours or Manager on **0407 181 594** to discuss the incident and any assistance required. The consultant will coordinate a notification to the relevant authorities where applicable. Both the University and the contractor have a responsibility to ensure notifiable incidents are reported to the regulators immediately they become aware. Both duty holders do not need to report the details however, it should be agreed between both parties who will fulfil this role as part of the contract agreement.

On approval from the inspector that the site of a serious incident can be accessed, the Contract Supervisor may commence an investigation in consultation with the contractor or their nominated representative. Assistance may be sought from the campus WHS Consultant. A written investigation report must also be sought from the contractor outlining corrective action taken or planned.

The Contract Supervisor must ensure corrective actions to control risk are adequate and implemented by the contractor and/or the University accordingly. Where a serious incident occurs that involves a university staff member, student or other person, a joint investigation by the University and contractor should be conducted.

The [WHS Procedure – Hazard/Incident Reporting & Investigation](#) provides further detail for managing an incident or hazard identified.

5.6 Site Safety Inspections and Observations

Contract Supervisors shall undertake periodic site observations of contractor conformance with WHS site safety plans, permit to work conditions, safe work methods/work practices as part of regular site visits. This process of monitoring is aimed to identify any hazards that may be present during the contract works and indicate contractor conformance to good work practices.

Site inspections and observations will primarily relate to capital development/refurbishment projects and contractors engaged in long term service arrangements e.g. contracted service providers however, may also relate to short-term contractors engaged in activities that have been identified as hazardous. The Contract Supervisor is responsible to determine the requirement to conduct observations and the frequency in which they occur based on the level of risk, nature and duration of the planned works.

The **Contractor Site Observation Checklist WHS77** or equivalent should be used to record observations. Any identified non-conformance with the agreed contractor practices must be recorded on the checklist and discussed with the contractor, along with remedial action to be taken. The Contract Supervisor must obtain documented evidence from the contractor when the agreed action is complete.

The Principal Contractor is responsible to conduct workplace inspections of a construction site on a regular basis and take remedial action immediately to control any identified hazards, defects or other health and safety issues.

University staff who observe any contractor working in an unsafe manner are responsible for reporting the unsafe practice to the Contract Supervisor in the first instance, or if unknown, the campus Security on **88888** or **1800 500 911**. Repeat behaviour may result in the contractor being instructed to cease work until the matter has been rectified and practices deemed safe.

The Contract Supervisor must inform the contractor that continued breaches of health and safety requirements may be reviewed by the University and may result in their contract being terminated and less likely to be awarded future contract work.

6. Record Maintenance

The Contract Supervisor responsible for the contractor must ensure the following documents are retained for that service contract as evidence of compliance with this procedure as applicable:

- Requests for tenders / quotations and submissions by the Contractor.
- Completed Contractor Evaluation Checklist – WHS76.
- Completed Contractor Safety Site Induction Checklist - WHS28 or Contract Mobilisation Checklist WHS28A.
- Copies of completed risk assessments and/or safe operating procedures.
- Completed Permits to Work – WHS27.
- Minutes of site meetings.
- Incident investigation reports.
- Completed Contractor Site Observation Checklists - WHS77.
- Records of non-conformances observed, including inspection reports, photographs, and other relevant information.
- Other notes relating to the contract works, works location, discussions about WHS and the contract works, safety breaches and follow up actions of the contractor.

7. Performance Measures

- Health and safety management is included as a key criterion in the selection and engagement of all contractors.
- 100% of contractors have completed the online induction program
- 100% of contractors have completed a safety site induction prior to commencement of any works for the first time.