

Guidelines for Management and Control of Contractors

Last Modified: 1 May 2016

Review date: 1 May 2018

Approval Authority: SMG

1. PURPOSE

Lincoln University is committed to providing a healthy and safe work environment for its employees, students and other members of the public. This includes ensuring contractors, and sub-contractors, meet their legal requirements under the Health and Safety at Work act 2015 (HSWA 2015) and associated regulations. Lincoln University seeks to ensure that work undertaken by contractors with particular emphasis on construction is carried out with effective safety procedures and monitoring systems in place.

2. BACKGROUND

Use of contractors on campus, especially construction, has unique risks for a variety of reasons including the:

- Inherent hazards and risks associated with work activities;
- High injury rate, including fatalities;
- Transient nature of the workforce;
- Variable ownership of health and safety, sometimes below that required by law.

The "reasonable practicable" steps that need to be taken by the University as the Person Conducting a Business or Undertaking (PCBU HSWA 2015) and "Principal" are not specified in the HSWA 2015 but case law has identified the following issues:

- There is set of rules or precedent that can shift responsibility from the principal to the PCBU. The PCBU, as the principal is ultimately responsible and needs to take steps that are reasonably practical;
- Even though the contractor or sub-contractor has a greater knowledge of the risks involved, and a closer relationship with the workers engaged, this does not mean the contractor has sole responsibility as the contractor.
- The University as Principal and PCBU has a duty to ensure that all construction work is carried out with effective safety policies, procedures, and applicable Codes of Practice and monitoring systems in place.
- More than one party can be prosecuted for the same breach of legislation.

3. PROCEDURE

1.1. For practical reasons, the standards below apply particularly to contractors who expose the University to a high to moderate risk of harm to people. Such activities would include:

- building construction, repairs and maintenance;
- excavations, trenches;
- building services, lifts, heating, electrical and data systems;

- working from scaffolding, confined spaces, unfriendly environments.
- agriculture contract work

These standards do not necessarily apply to activities such as housekeeping duties or clerical support where the University is only exposed to a minimal risk of harm to people.

All contractors are to complete a health and safety induction I (see appendix 2)

3.2. Due to the range and number of potential contracts for services with varying sizing, complexity and scope of work there are two (work) categories used:

- Minor works: Low hazard, short duration and self-employed casual labour;
- Major works: Moderate to high hazard, longer duration, specialist equipment and with sub-contractors.

3.2.1. Minor Works

The University Lincworks section will ensure that:

- Trades staff have current qualifications, where such qualifications are required. e.g. Electrical workers will have current practising licences;
- Semiskilled people are provided with appropriate training and levels of supervision;
- An appropriate induction programme is given that includes contact people for health and safety issues, including immediate management representative and Health and Safety Representative (HSR); safe and healthy work procedures and methods; emergency procedures, area hazard registers, details on reporting procedure for hazards, incidents or injuries; the requirement to use personal protective equipment and safety devices, including guards and RCDs; and training in the correct use of unfamiliar tools and equipment.
- A post contract evaluation. This is to be completed after the contract has finished. Spot audits on compliance will also be undertaken periodically.

Contractors are to be given a copy of the visitor safety information and will sign a register and complete a contractor induction (see appendix 2). All relevant Health and Safety issues will be explained to them.

Any minor contract will include a section on health and safety.

The University will then place the contractors name on a list as an approved contractor. Where the person is contracted on regular basis, refresher training should occur at least on an annual basis.

3.2.2. Major Works

At the tendering stage the company shall complete the "Contractors and sub-contractors health and safety questionnaire" (Refer Appendix 1).

Upon successful tender, the contractor must complete and sign standard contractual conditions. The contract conditions will be those recommended by the appropriate professional New Zealand Institute or any other appropriate body as approved by Lincoln University. Any other work will be covered by the more general "Contract for Major Work" in Appendices 3 or 4.

These contract conditions shall include provisions on:

- General legal requirements.
- Safe and healthy work procedures/practices.
- Hazards and their control measures, work permits, etc.

- Training and quality requirements.
- Inspection and auditing powers of the University as Principal.
- Reporting requirements for accidents and incidents.
- Principal's power to stop work if provisions are not being met
- Penalties for non-compliance.
- Emergency procedures
- Designated areas and access to permitted areas
- Use or and requirements relating to personal protective equipment
- Post contract health and safety evaluation and assessment of performance
- Health monitoring (where applicable)

Before work commences, the University shall review all Regulatory Certificates required, e.g.

- Scaffolding;
- Use of explosives;
- Asbestos removal
- Use of hazardous substances
- Confined space entry
- Working at heights
- Area hazard registers

A health and safety induction will be completed before work commences (see appendix one)... This will be undertaken by the Lincoln staff member or who is responsible for the contract. Where the contractor is not engaged by Lincworks the relevant staff member engaging the contractor will complete the induction.

During the work, the University shall regularly monitor, to ensure that the work is being carried out to meet the University's health and safety standards.

4. RESPONSIBILITY

The responsibilities are laid out in section 3 of this procedure.



APPENDIX ONE – HEALTH AND SAFETY QUESTIONNAIRE

Lincoln University
PO Box 94
Lincoln University
Canterbury
New Zealand

Telephone: (64) (3) 325 3612
Fax: (64) (3) 325 3875

Contractors and Sub-Contractors
Health and Safety Questionnaire

Name of Tenderer’s Company: _____

Date: _____

Designated person responsible for health & safety: _____

Site Safety Officer: _____

Work to be carried out: _____

Location: _____

No. of employees on site: 1-5 6-10 11-20 20+

1. **SAFETY AND HEALTH TRAINING** YES NO

- 1.1 Is safety and health training given to employees?
- 1.2 Details: _____
- 1.3 Do you require specific training and/or licences for any activities?
- 1.4 If yes, what activities? _____
- 1.5 Do you occasionally employ casuals/temporaries?
- 1.6 Will you be employing sub-contractors?
- 1.7 Are they given the same training as your own permanent employees?
- Details: _____

2. **PROCEDURES**

- 2.1 Do you have a health and safety manual? (Ask for a copy)
- 2.2 Does this include safety and health information on all significant hazards?
- 2.3 Do you have a maintenance schedule for equipment?
- 2.4 Do you use hazardous chemicals?
- 2.5 Do employees have access to these SDS’s during contract times?

YES NO



3. HAZARD IDENTIFICATION

- 3.1 Does anyone conduct workplace inspections?
- 3.2 If so, do you use a checklist?
- 3.3 If yes, how often? _____
- 3.4 Do you have a hazard reporting procedure?
- 3.5 Details: _____

4. MANAGEMENT

Indicate which of these are included in your management of health and safety.

- 4.1 Involvement of employees in policies and procedures (for example, by
- 4.2 Meetings which include discussion of health and safety issues.
- 4.3 Trained first aider(s).
Contact: _____
- 4.4 Accident reporting and investigation.
- 4.5 Regular maintenance programme.

5. HISTORY

- 5.1 Do you keep an accident record/register?
- 5.2 Who is responsible for investigating and reporting occupational injury or illness?
(Title: _____)
- 5.3 What was your performance in the previous year?
 - number of fatalities:
 - number of lost-time injuries:
 - number of days lost:
 - total number of employees in company:
 - total number of hours worked by employees:
- 5.4 Have you been prosecuted on health and safety grounds or been served with an improvement notice by WorkSafe NZ in the previous year?
If so, please give full details:

6. PERSONAL PROTECTIVE EQUIPMENT (PPE)

- 6.1 Do you provide:
 - hearing protection?
 - safety glasses or goggles?
 - safety shoes?
 - hard hats?
- 6.2 Is their use enforced?

7. INSURANCE

- Do you have public liability insurance? (Value \$)
- Do you have motor vehicle insurance? (Value \$)
- Do you have motor vehicle (third party) insurance? (Value \$)
- Do you have third party insurance? (Value \$)

TOTAL _____



5. APPENDIX TWO – CONTRACTOR INDUCTION

Surname	Company
First Names	Position/Job Title
Employee No	Job Function
	Workplace Location

SAFETY INDUCTION PROGRAMME

- 1 I have read and am aware of Lincoln University’s Health & Safety Booklet
- 2 I am aware of my personal and Lincoln University’s obligations under the Health and Safety at Work act 2015Act
- 3 I am aware of Lincoln University’s structure including the safety personnel that I am to report to
- 4 I have knowledge of the Lincoln Universities Hazard Management Programme, including hazard identification
- 5 I have knowledge of Lincoln University’s Accident/Incident Procedures
- 6 I have knowledge of Lincoln University’s Emergency Procedures
- 7 I have been provided with Health & Safety information relating to my job function
- 8 I am aware there may be a need for the company to monitor my exposure to hazards and keep a record of my health, with my consent
- 9 I am aware of the company’s Health & Safety Work Training Programmes

ORIENTATION TO WORKPLACE

- 11 I have been made aware of the hazards that are present in my workplace
- 12 I have been introduced to other personnel and their job functions
- 13 I know the location of emergency exits
- 14 I know the location and how to operate emergency equipment, eg fire extinguishers
- 15 I know the location of the nearest emergency telephone
- 16 I know the location of the safety/first aid equipment
- 17 I have received instruction on safe working practices, eg safe machinery operation

DECLARATION (11)
I certify that I have received training and instruction according to the above safety induction programme, including orientation to the workplace

Signed Name

Date

Supervisor/person engaging contractor Name

Signed

Date



**APPENDIX THREE
Post contract evaluation**

Company _____ **Date** _____

Contact _____ **Work undertaken** _____

Lincoln University Contact _____

Criteria	Yes	No
PPE worn		
Accidents reported		
Hazard reported		
Safety plan followed		
Emergency procedures followed		
Designated areas enforced		
No smoking in restricted areas		
Health monitoring completed (if applicable)		
Licenses available (forklift etc)		
Codes of practice available		
Casual or sub contractor inducted & notified to site contact		
Safety data sheets available		
Inspections/audit carried out		



