



HEALTH AND SAFETY CONTRACTOR MANAGEMENT HANDBOOK



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SOUTH WAIKATO DISTRICT COUNCIL

Contractor's Health and Safety Handbook

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Introduction

Welcome to the South Waikato District Council! Our aim at the South Waikato District Council (SWDC) is to work with contractors who support good health and safety practices. Ultimately, we want all who work for the Council to go home each day healthy and safe both physically and mentally.

The Health and Safety at Work Act 2015 (HSWA) places a duty on a “person conducting a business or undertaking (PCBU)” to take all reasonably practicable steps to ensure contractors, subcontractors and their workers are not harmed while undertaking any work.

The purpose of this handbook is to provide contractors with an outline of our health and safety expectations and will help contractors to understand their roles and responsibilities when working on behalf of the Council or at a council operated facility.

Please ensure you are familiar with the environment you will be working in and the associated hazards/risks and any specific health and safety requirements before you start. If you have any questions regarding the information in this handbook, please contact your Council representative.

Roles and Responsibilities

Council and contractors working together have shared duties to control risk (overlapping duties). To ensure effective management of the health & safety risks, Council and contractors need to consult, cooperate and coordinate the management of the risks involved in getting the job done. To achieve this, we will need to decide on who will be responsible for the following:

- Control of the worksite
- Whose health & safety system will be used.
- When and how we will meet to discuss Health and safety.
- Any other relevant health and safety matters

Council Expectations:

- You will maintain a safe working environment.
- Comply with Council health and safety requirements.
- Ensure your workers and subcontractors are aware of Council requirements such as reporting procedures, emergency arrangements, risk, and hazard information.
- Ensure all workers and subcontractors are competent (have appropriate experience, licences, or qualifications) to carry out the work safely. Inexperienced workers must be actively supervised by a competent worker from your organisation.
- All plant and equipment are in safe working condition and regularly inspected in line with relevant standards, codes of practice and guidelines.

Our Commitment to you:

- SWDC will provide all contractors with copies of all relevant health and safety documentation.
- We will carry out regular monitoring to gain assurance that all contractors are working in a safe manner and in line with health and safety requirements.
- Provide feedback on Health and Safety matters.

Worker Responsibilities:

- Take reasonable care to ensure their own health and safety and ensure that their actions or inactions do not cause harm to others.
- Comply with all reasonable instructions, policies and procedures on how to work in a safe and healthy way.
- Report all incidents, hazards, near misses, and where possible, suggest improvements.
- Use and maintain personal protective equipment (PPE).



Overlapping Duties

Businesses (PCBU's) that work together will likely have overlapping duties in relation to health & safety.

The Health and Safety at Work Act (2015) require all businesses to so far as reasonably practicable consult, cooperate and coordinate activities with all other businesses they share overlapping duties with.

Examples of businesses with overlapping duties:

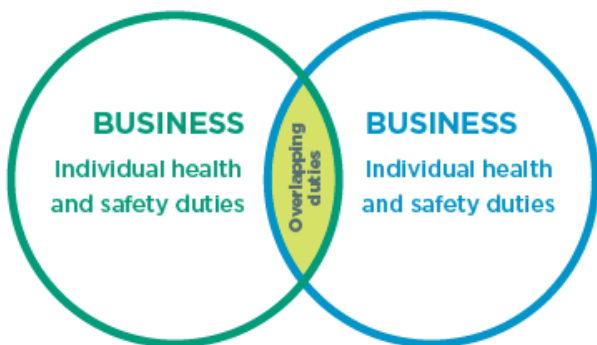


Figure 1: Overlapping duties in a shared workplace

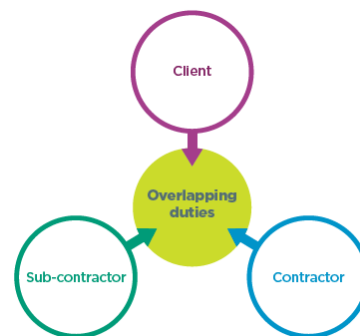


Figure 2: Overlapping duties when businesses don't share a workplace.

When we work together and have overlapping duties, it is most likely that we will be successful in meeting our duties to consult, cooperate and coordinate if we:

- Plan a head. Think about the stages of the work and who could be affected by the work.
- Identify the risks to be managed and together agree how to control the risks and who is best placed to do so.
- Define roles, responsibilities and actions and explain these to workers and other businesses so they know what to expect.
- Continue to consult, cooperate, and coordinate, including carrying out reasonable and proportionate monitoring to ensure health and safety is managed.

Council expects that you will also implement a similar process with your subcontractors to ensure your subcontractors are provided with all the information required to keep themselves and others safe on site. You will also need to monitor the performance of your subcontractors to provide assurance that they are complying with health and safety requirements.

Health and Safety Pre-Qualification

To ensure we are meeting our due diligence obligations under the HSWA, we require contractors to be pre-qualified using one of the following pre-qualification schemes:

- SHE Prequalification
- SiteWise
- Impac PREQUAL
- ISNet

Desk based consultants and contractors with low-risk profiles (not carrying out physical work) shall be exempt from participating in the Council's Contractor Health and Safety Pre-qualification requirements. However, you will be required to provide evidence of competency (qualifications, experience, training) and insurance. References may also be requested.

Becoming pre-qualified is not a guarantee of work, but it does provide your business with an advantage in the selection process. Contractors who can meet the required pre-qualification requirements will be added to a database of 'preferred contractors'.

To be added to the preferred contractors list please ensure you have provided the following to your SWDC representative:

- o Certificate confirming successful completion of one of the above pre-qualification schemes (a satisfactory score/rating must have been achieved).
- o Confirmation of insurance cover.
- o Completed Health & Safety Contractor Management Handbook declaration (refer Appendix 2).
- o Training & Competency Register

Insurance

Contractors are required to hold insurance cover for the work they are carrying out. The insurance cover must remain in place for the duration of the contract and evidence of insurance must be provided to SWDC. Contractors need to confirm that their subcontractors also have appropriate insurance cover in place.

The type and amount of insurance cover required will be determined by the contract. SWDC reserves the right to confirm the status of insurance cover at any point during a contract.

Execution of work

There are various types of site-specific safety plans required for physical works, e.g. full site-specific safety plan (SSSP), a job safety analysis (JSA), and permit to work (PTW) etc.

The type of information required will be dependent on the scope of the work and level of risk. Factors required in these types of documents include but are not limited to:

- Health and Safety Policy statement.
- Roles and responsibilities.
- Identifying critical risks.
- Identification of hazards/risk and mitigation controls for the site.
- Hazardous Substances Inventory and Safety Data Sheets.
- Incident management and reporting.
- Training/competency requirements relevant to the work being done.
- Emergency response plans/procedures.
- Copies of notification of Particular Hazardous Work to WorkSafe.

All PCBU's involved on site shall ensure regular monitoring on site takes place during the contract period. Documentation of this will provide all relevant PCBU's with an assurance that health and safety is being managed effectively.

Induction

Before commencing work on a Council site, you will need to be inducted. Every member of your team entering a work site must be inducted (including sub-contractors). The purpose of an induction is to:

- Familiarise you and your workers with Council processes, e.g. reporting processes, emergency procedures etc.
- Ensure information on site-specific risks/hazards is communicated. Please note that if you are working across multiple Council sites, you will need to complete an induction for each site, as the risks will vary from site to site.

Note: Council inductions are not required for standalone sites where the main contractor has their own site-specific induction.

Signing in and out

Council staffed facilities:

If you are working at a SWDC facilities where Council staff are based, you will need to:

- Obtain a Permit to Work from your SWDC contact:

Prior to starting work, you are required to obtain a Permit to Work from your Council representative for the following:

- Working at height
- Working in confined spaces

- Excavation/penetration work
- Hot work
- Sign in/out daily at the designated sign in/out point.
- Complete the site-specific induction.
- Note the site emergency evacuation and security procedures.
- Ensure your work area is delineated and appropriate signage in place.

Non-staffed Council facilities:

When working at unstaffed Council facilities such as pump stations or reservoirs, you will need to:

- Obtain a Permit to Work from your SWDC contact (see above).
- Let your council representative know when you plan to arrive, scope of work and expected exit time.
- Be aware of all other workers who are present at the workplace and ensure your activities do not impact on them and vice versa.
- Comply with the site health and safety policies and procedures.

Other worksites:

When a worksite is not controlled by council, you will need to:

- Organise a site-specific safety induction with the person in control of the site.
- Share information on risks/hazards which you may introduce to the site and relevant health and safety paperwork with the person in control of the site.
- Comply with the site's health and safety policies and procedures.

Communication

Effective communication is key to ensuring risks are managed. Prior to starting contracted works, a pre-start meeting will be held and involve key management personnel. The purpose of this meeting is to agree on and discuss:

- The work activities being undertaken.
- Hazards and risk management plans and strategies.
- Roles and responsibilities for key personnel from each organisation.
- Communication methods and timeframes e.g. toolbox talks, daily pre-starts, health & safety meetings etc.
- Meeting minutes and attendance will be documented and retained.
- Reporting requirements.

If your work is ongoing, daily pre-start meetings and weekly toolbox talks are a great way to plan the day and week a-head. Remember to include your subcontractors to ensure they can share and receive relevant health & safety information. Use these meetings to discuss:

- Upcoming work activities and the risks and controls for these.
- Confirm any visitors or contractors who may be attending site.
- Identify how the works may impact on others, including the public.
- Confirm everyone has the right tools, equipment and PPE to do the job safely.
- If required, review JSA/SWMS with workers and confirm workers have read, understood and signed these documents.

Remember to provide any workers, subcontractors etc. with a catch-up session if they were unable to make the meeting before starting.

Risk Management

Different organisations will have different health and safety risks, it all depends on the type of work you do. A healthy and safe workplace starts with identifying and understanding what your work-related health and safety risk are, particularly those that have the potential to cause people serious injury or illness. It then requires doing what is reasonable and practical, and what you can do to eliminate or, where risks can't be eliminated, minimise those risks.

You are responsible for managing risks associated with your work activities. Before you start work, your Council representative will ensure you are made aware of any known risks, hazards and controls at the work site.

All work must have a clear scope and include a hazard and risk assessment. This information will be reviewed by Council representatives (Contract/Project Manager, Health & Safety Advisor). The purpose of this process is to verify how the work will be managed, confirm roles and responsibilities, and identify if there are any additional health and safety requirements needed prior to the work starting.

Depending on the level of risk, a Site-Specific Safety Plan (SSSP) may be requested.

Overview of the risk management process:



Notification of Particular Hazardous (Notifiable) Works

Employers as well as the person who controls a place of work are required to notify WorkSafe of any particularly hazardous work (notifiable works) at least 24 hours before the work starts. Further information and how to notify WorkSafe can be found at: [Particular hazardous work \(Notifiable works\) | WorkSafe](#)

A copy of the notifiable work must be provided to the SWDC's Project/Contract Manager and/or other Council representatives.

Below is a summarised list of works required to be notified to WorkSafe - please ensure you keep up to date with any changes.

- Logging or tree felling undertaken for commercial purposes.
- Construction work with a risk of falling 5m or more.
- Erecting or dismantling scaffolding with a risk of falling 5m or more.
- Use of a lifting appliance where the appliance has to lift a mass of 500kg or more over a vertical distance of 5m or more.
- Work in any pit, shaft, trench, or other excavation in which any person is required to work in a space more than 1.5m deep and having a depth greater than the horizontal width at the top.
- Work in any drive, excavation, or heading in which any person is required to work with ground cover overhead.
- Work involving the use of explosives, or storage of explosives for use.
- Work in which a person breathes compressed air, or a respiratory medium other than air (not diving).
- Work in which a person breathes compressed air, or a respiratory medium other than air (diving).

High Risk Work

For high risk works, you will be required to submit a site-specific safety plan (SSSP) and/or job safety analysis (JSA), safe work method statement (SWMS) prior to starting work. The type of information requested will depend on the scope of works and level of risk.

For information on SWDC's minimum requirements for our identified critical risks please refer to Appendix 3.

Site Specific Safety Plans

Your SSSP will need to include the following and will be checked by the project/contract manager to ensure it meets the requirements:

- Contact details for key personnel
- List of subcontractors (if applicable)
- Types of communication and inspections and their timeframes (weekly, daily etc.)
- Incident reporting process (including when council will be notified and how)
- Risk/hazard register and their controls
- JSA, SWMS or Task Analysis for high/critical risk work activities
- Hazardous substances register (if applicable)
- Emergency response plans
- Copies of WorkSafe notifications (if applicable)
- Training/competency register
- Environmental Plan (if applicable)

Training and Competency Requirements

All contractors are required to ensure that their workers, subcontractors, and others have sufficient skills, experience, qualifications and/or licences to carry out their work activities safely. If you have trainees, apprentices, or new workers, you will need to make sure they are adequately supervised by a competent person to ensure work is completed safely.

Evidence of qualifications, training and licences may be requested during the contracted works. A training/competency register will be requested prior to starting works.

Management of Subcontractors

If you engage subcontractors to carry out physical works, you will need to ensure the subcontractors comply with the main Contractor's safety framework and SWDC requirements. The subcontractors will need to have an appropriate level of insurance (unless they are covered by your insurance), attend a site induction, be familiar with the risk and controls for the site, incident reporting requirements and emergency procedures.

Personal Protective Equipment (PPE)

All contractors are responsible for ensuring that all workers (including subcontractors) have and wear the appropriate PPE for the work activities. Workers and subcontractors need to have received training and information on how to use, maintain and store the PPE.

A risk-based approach should be carried out when determining what type of PPE is required.

Please note: SWDC will not lend PPE or other safety equipment so please bring your own.

Housekeeping

Untidy/disorganised sites create hazards – please ensure sites and work areas are kept tidy, all tools, equipment and materials are stacked safely and securely. All rubbish is disposed of appropriately and contained (not able to cause a nuisance) while onsite.

Remember: your site may be visible to the public and as such is a reflection on your business and SWDC.

Public Safety

Ensuring public safety is a priority for the SWDC. You will need to consider the following:

- How to prevent access to restricted work areas (fencing, barriers etc.)
- How to adequately warn the public of the dangers (signage, social media posts)
- Excavations must either be backfilled at the end of each day or securely covered/cordon off.

- How materials are stored onsite – children may enjoy playing on stored materials, so they need to be secured and access restricted.
- Ensure entry points are secured at the end of each day (locked and fencing brackets in place so fence panels cannot be easily lifted).

You have the right and responsibility to instruct members of the public to leave or avoid areas where work is being carried out if there is a risk to their health or safety, or their presence could create a health and safety risk.

Plant, Machinery, Tools and Equipment

All plant, machinery, tools and equipment must be:

- Fit for purpose.
- In safe working condition and well maintained.
- Used in accordance with the manufacturer's specifications.
- Certified and/or tested and tagged (where required). Licensing and certification requirements will be met by the Contractor.
- Operator must complete a Pre-Start before use.
- Operators using the plant, machinery, tools and equipment must have appropriate experience, training, qualifications and/or licensing. If the operator is an apprentice, trainee or new staff member they must be provided with adequate supervision.
- No unguarded machinery, tools or equipment are to be used.

Drugs and Alcohol

Impairment due to taking certain prescription or non-prescription drugs or alcohol may place yourself or others at risk of injury.

South Waikato District Council 's expectation is that contractors have a drug and alcohol policy with procedures in place to mitigate and control drug and alcohol use in the workplace. A copy of this policy may be requested by SWDC staff to ensure it is adequate.

The Contractor shall ensure that at any time during the performance of the work, his/her personnel are, neither under the influence, nor partake of any alcoholic liquor, drug or intoxicating substance, other than for bona fide medical reasons.

The Contractor will carry out a drug and alcohol test of a worker where there is reasonable cause or post incident where the incident has an actual or potential consequence of serious harm or significant damage to property, the environment or business undertaking.

Drug and alcohol testing is to be conducted by a recognised provider and will be at the expense of the Contractor. A copy of SWDC's Drug and Alcohol Policy will be provided on request.

Public Relation and Media

Good relationships with neighbouring property owners and the public are important. Your business reputation and that of the SWDC are at risk. As the public are quite often interested in Council projects, please be aware that people may hear offensive language and behaviour or unprofessional behaviour and consider this a reflection of your business and/or SWDC.

Be careful of the information you share with the public as this might be misinterpreted and end up in the media. If you are approached for comment by the media, please decline to comment and refer them to the Council's Communications team.

Children

Under no circumstances can children accompany contracting workers on Council sites.

Incident and Emergency Management

Contractors are required to record, report and investigate all incidents, accidents and near misses. This ensures that we understand what happened and how it occurred to prevent recurrence.

Please report the following incidents within the timeframes below. If the incident reporting timeframe is once a month, then please include these in the monthly Key Performance Indicator report.

Incident Type	Reporting Timeframes
Minor (near miss, incident – no injury etc.)	Once a month
First Aid	Once a month
Medical Treatment Injuries	Within 24 hours
Lost Time Injuries	Within 24 hours
Near miss (high potential)	Within 24 hours
Property Damage	Within 24 hours
Notifiable Incident (WorkSafe)	Immediately

Appendix 4 – Contractor Incident Reporting Process

Notifiable Event

A notifiable event is any of the following events that arise from work:

- A death
- A notifiable illness or injury; or
- A notifiable incident.

For further information on what needs to be reported visit the WorkSafe visit:

<https://www.worksafe.govt.nz/notifications/notify-worksafe/>

If a notifiable event occurs, please carry out the following:

- Call 111 and assist injured person if it is safe to do so (if applicable).
- Notify WorkSafe as soon as possible.
- Preserve the site until a WorkSafe Inspector arrives unless otherwise directed by WorkSafe.
- Notify your Council representative as soon as possible and provide a copy of the WorkSafe notification.
- Cooperate with WorkSafe and meet all reporting requirements.

- Provide a copy of the investigation report to council in a timely manner.

Emergency Management

Contractors need to have appropriate emergency response plans in place for the activities they are carrying out (e.g. fire, chemical spill, medical emergency, earthquake etc.). Emergency response plans need to be specific to the site and/or activities being undertaken. For example:

- Are you working in a confined space? Do you have rescue equipment nearby and are all participants trained?
- Are you working at height? Do you have a rescue plan in place in case someone falls and is suspended in a harness?
- How will you communicate if an emergency occurs? Is there cell phone coverage?
- Where is the nearest medical service provider? Do you need additional safety equipment due to your location?
- Are you using hazardous substances? Have workers been trained on how to manage a spill and is there a spill kit available?
- Do you have an emergency evacuation plan? Or do you and all your workers (including subcontractors) know the evacuation plan and location of the exits for the workplace you are working from?
- Do you have an adequate number of first aid trained workers? Do you have a first aid kit and fire extinguisher on hand?

Contractors are responsible for supplying their own first aider, first aid kit, fire extinguisher, spill kit and any other equipment required for an emergency.

Contractor Monitoring

SWDC may carry out monitoring of contractor health and safety practices to ensure that risks are being effectively managed. The frequency and complexity of this monitoring will depend on the level of risk involved.

Contractor Key Performance Indicators

Contractors who are engaged on long duration (more than 1 month) or ongoing contracts will be required to submit a Contractor Health & Safety Management Key Performance Indicators report (Appendix 5) monthly or reporting as specified in the contract.

To measure health and safety performance, the Council reviews both lead and lag indicators.

- Active (lead) indicators: These focus on future safety performance and continuous improvement. These measures are active in nature and report what contractors are doing on a regular basis to prevent injuries. For example, toolbox talks, site inspections, audits and training.
- Reactive (lag) indicators: These are used to measure what hasn't gone so well and where improvements can be made. For example, incident reports, non-compliance, and corrective actions.

Non-compliance

Where a breach of any health, safety and environment requirements occurs, or in South Waikato District Council's opinion is likely to occur, South Waikato District Council may immediately suspend work.

If the breach or potential breach is the result of the action or inaction of the contractor personnel, South Waikato District Council may require such personnel to be removed (temporarily or permanently) from the site.


The Contractor will be liable for any consequential costs incurred as a result.

Contract Closure

Following the completion of contracted work, a post-contract evaluation will be carried out (Appendix 6) or a review process as specified in the contract. The evaluation will cover all aspects of the works including health and safety performance. If you are a regular contractor, this review will be undertaken annually.

Appendices

Appendix 1 – South Waikato District Council Health and Safety Policy

Health and Safety Policy		
Record number:	DocSet ID number - 501356	
Version:	9	
Approval/Version Date/Number:	23/01/2020	8
Responsibility:	Health and Safety Officer	
Next review date:	February 2026	
Historic revision dates:	June 2004, October 2010, February 2015, November 2016, February 2023	
Review frequency:	3 Yearly or in response to changed legislative and statutory requirements	
Approval authority:	Chief Executive	
Consultation required:	Yes – Executive Team, Health & Safety Committee	
Associated documents:	Staff handbook, Driver handbook, Contractor handbook, Health & Safety Management Framework, Risk Management Framework	

Purpose

South Waikato District Council (SWDC) is committed to protecting all workers and members of the public from harm while undertaking Council duties or while working on, or visiting Council buildings, facilities and worksites.

This Policy is intended to contribute to all aspects of the organisations health & safety performance as part of a clear commitment to ensure continuous improvement in health and safety and fulfil its moral and legal responsibility to providing a safe and healthy work environment.

Expectations

South Waikato District Council in its role as the person conducting a business or undertaking (PCBU) and its Officers have a primary duty of care in relation to the WHS and wellbeing of its workers and others.

The Elected Members, Chief Executive Officer, and Executive Managers shall be committed to:

- Having an understanding of the nature of the PCBU operations and associated hazards and risks.
- Protecting all workers from harm, while identifying ways to continually improve health and safety performance.
- Encouraging & supporting worker engagement, participation and representation with consultation on health and safety matters

All managers and supervisors are expected to fully implement all of Council's health and safety programmes. They are also responsible for ensuring a safe work environment is provided to all employees and other parties under their direct control, including contractors and visitors. Managers and supervisors are also responsible for, and expected to, report promptly any WHS or wellbeing concerns or issues they become aware of to the Group manager, where these cannot be addressed within their level of authority.

All workers have their own health and safety duty to take reasonable care to keep themselves and others safe while in the workplace. All Workers are expected to fulfil their WHS obligations in regard to this policy and the Health and Safety at Work Act 2015 by fully participating in Council safety programmes, reporting injuries and incidents, and following all safety directions, regulations and procedures.

Policy Statements

SWDC acknowledges its primary duty of care and responsibility for people's health and safety at work and will take all reasonable and practicable steps necessary to provide a safe and healthy environment through:

- Demonstrating leadership at all levels that strive for Work Health and Safety (WHS) excellence, and hold managers accountable at all levels for WHS performance.
- Ensure effective engagement and consultation occurs between management, unions and employees in relation to WHS and wellbeing issues, and provide information to employees and contractors with respect to health and safety
- Implementing a risk management programme to effectively assess and manage hazards and risks to staff, contractors, and others in the workplace, by taking all reasonably practicable steps to eliminate or minimise the risks to health and safety.
- Ensuring that health and safety considerations form part of the procurement process of plant, machinery, design or the development of any new or modification to work activities.
- The provision of resources, information, training, instruction or supervision that is necessary to protect all persons from risks to their health and safety arising from Council activities.
- Fostering a mind-set of an incident, injury and illness free environment that aims at preventing accidents which reinforces the implementation of all WHS management within council's control, including accurately reporting, responding and investigating all incidents and near misses to and learn from them to prevent reoccurrences
- Facilitating continuous improvement through periodic review of Health and Safety objectives and performance measures, systems, practises, and procedures to ensure their effectiveness and relevance.
- Ensuring full compliance with existing Work Health and Safety legal and other requirements, and working constructively to influence proposed laws and regulations.

Definitions

Contractor/ Consultant - A person engaged by Council to do work for gain or reward (otherwise than as an employee).

Duty of care – the care that a reasonable person exercises to avoid harm to other persons or their property.

Harm – a work related injury or illness.

Health and Safety Management System – framework developed and maintained to meet legislative requirements and establish a set of processes to manage and maintain a high safety standard in the workplace.

Officer – includes Elected Members, Chief Executive and Group Managers, as defined in the Health and Safety at Work Act 2015.

Others in the workplace – members of the public, visitors, patrons, casual volunteers, and event organisers.

PCBU - means a Person Conducting a Business or Undertaking. It's a broad concept used throughout the Health and Safety at Work act to describe all types of modern working arrangements which are commonly refer to as businesses.

Reasonably practicable – as defined in the Health and Safety at Work Act 2015. in relation to a duty of a PCBU means that which is, or was at a particular time, reasonably able to be done to ensure health and safety, taking into account and weighing up all relevant matters including:

- a) the likelihood of the hazard or the risk concerned occurring; and

- b) the degree of harm that might result from the hazard or the risk; and
- c) what the person concerned knows, or ought reasonably to know, about the hazard or risk, and about the ways of eliminating or minimising the risk; and
- d) the availability and suitability of ways to eliminate or minimise the risk; and
- e) after assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.

Safe – free from harm, be it physical and/or mental.

Welfare – wellbeing, health and security of workers.

Worker - as defined in the Health and Safety at Work Act 2015 – includes but not limited to employees, contractor or sub-contractor employees and volunteer workers.

References and Relevant Legislation

- Health & Safety at Work Act 2015

Appendix 2 - Contractor Health and Safety Declaration (To be signed and returned)

Contractor Health & Safety Declaration

Please complete and return this form to your South Waikato District Council representative.

I/we hereby confirm that all persons employed, subcontracted, or otherwise engaged by me/us:

- a) Have the appropriate qualifications, certifications, skills, and experience to carry out and/or supervise the work I/we have been engaged to undertake in a safe manner, and
- b) Will adhere to all applicable health and safety legislation (including the Health and Safety at Work Act 2015) and any applicable South Waikato District Council policies and procedures, and
- c) Have read and understood all items outlined in the South Waikato District Councils' Health & Safety Contractor Management Handbook, and
- d) Will abide by any reasonable instruction given by a South Waikato District Council representative, and
- e) Will cooperate and communicate on health and safety matters, and
- f) Understand that failure to comply with the South Waikato District Councils' Health & Safety Contractor Management Handbook, policies, procedures, or health & safety legislation may result in suspension and/or cancellation of works at the Contractor's expense.

Company name:	
Name of person completing form:	
Position:	
Project/Contract name:	
Signature:	
Date:	

Appendix 3 – Critical Health & Safety Risks for Contractors

Critical Risk Management

Below is a list of critical risks identified by SWDC and expected controls (at a high level). Please confirm with your Council representative prior to commencing works as other critical risks may be present. Contractors are responsible for ensuring risks are managed including ensuring correct PPE and other safety equipment needed has been identified.

Critical Risk Topic	Example	Controls
Working at Height	Working on a roof, reservoir or from a ladder	<ul style="list-style-type: none"> - Works to be carried out in accordance with the Best practice guidelines for working at height in New Zealand - Workers to be trained and competent for the task being undertaken. - Permit to Work to be issued prior to working at height. - A risk assessment (SWMS, JSA etc.) of the task must be carried out prior to starting work. - All equipment used for height access is to be in safe working condition, appropriate for the task and must meet the relevant standard.
Working in confined spaces	Working in storage tanks, elevator shafts etc.	<ul style="list-style-type: none"> - Working in confined spaces must be carried out in accordance with AS 2865. For further information, refer to: Planning entry and working safely in a confined space - Workers must be trained and competent for work in confined spaces. Workers must hold relevant NZQA standards. - Permit to Work to be issued prior to working in a confined space. - A risk assessment (SWMS, JSA etc.) and a rescue plan must be completed prior to starting work. - All equipment used for confined space work must be in safe working condition, appropriate for the task and must meet the relevant standard.
Harm to Mental Health	Work stressors, long hours, bullying or harassment.	<ul style="list-style-type: none"> - Have processes and procedures in place to manage and prevent harm to mental health.
Trenches and open excavations	Digging service trenches, pits etc.	<ul style="list-style-type: none"> - Works to be carried out in accordance with the Good Practice Guidelines – Excavation Safety 2016 - Workers to be trained and competent for the task being undertaken. Only licenced operators may use heavy machinery. - Permit to Work to be issued prior to carrying out trenching or excavation. - A risk assessment (SWMS, JSA etc.) of the task must be carried out prior to starting work. - All equipment used for excavating and trenching work is to be in safe working

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		condition, appropriate for the task and must meet the relevant standard.
Work near overhead and underground services	Excavation works carried out near existing services or working near overhead powerlines.	<ul style="list-style-type: none"> - Works to be carried out in accordance with New Zealand Code of Practice for Electrical Safe Distances (NZECP34) - Adhere to minimum safe distances for overhead powerlines and underground services (electricity, gas). - Obtain the appropriate permit from the service provider if working within the minimum safe distance. - Ensure location of all services is known. See the beforeudig website or the relevant local authority for more info.
Public/traffic management	Working in the roading corridor.	<ul style="list-style-type: none"> - Works to be carried out in accordance with Code of practice for temporary traffic management (CoPTTM). - Workers to be trained and competent for the task being undertaken. Workers involved in the planning and implementation of traffic management plans must be appropriately qualified. - Appropriate signage must be installed to warn members of the public of the dangers. - Fencing and barriers must be in place to prevent access to a work site/area.
Heavy Plant and Machinery	Work involving large trucks, diggers etc.	<ul style="list-style-type: none"> - Works to be carried in accordance with industry best practice. - Workers to be trained and competent for the task being undertaken. Only licenced operators may use heavy machinery. - All heavy plant and machinery are to be in safe working condition, appropriate for the task and must meet the relevant standard.
Power tools/electrical equipment	Works involving drills, grinders and extension leads etc.	<ul style="list-style-type: none"> - Workers must be trained and competent for the task being undertaken. - All power tools/electrical equipment are to be in safe working condition, appropriate for the task and meet the relevant standard. - All electrical equipment must display a current test and tag. - Safety guards must be in place where applicable. - RCD's must be used where required.
Asbestos Containing Material (ACM)	Works involving the disturbance or removal of ACM.	<ul style="list-style-type: none"> - Works involving ACM must be carried out in accordance with the Approved Code of Practice – Management and Removal of Asbestos. - Workers must be trained, competent and hold the relevant licence for the task being undertaken.
Working over or near bodies of water	Working over open water such as a	<ul style="list-style-type: none"> - Fall prevention to be in place where required.

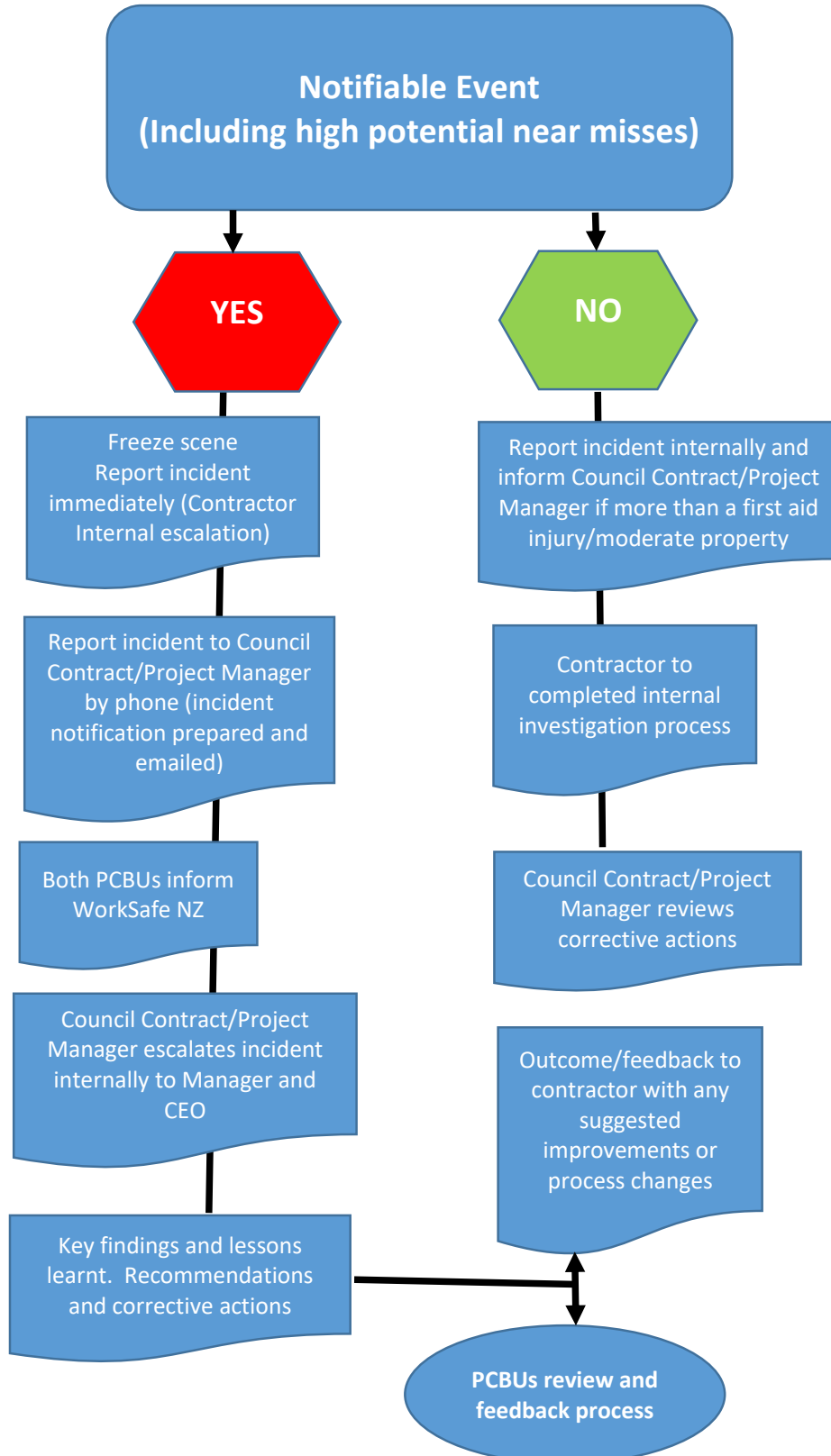
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	reservoir or natural source of water.	<ul style="list-style-type: none"> - Workers to be trained and competent for the task being undertaken. - A risk assessment (SWMS, JSA etc.) and a rescue plan must be completed prior to starting work. - Ensure Personal floatation devices are readily available.
Exposure to hazardous substances	Exposure to a product or substance which has properties which are hazardous	<ul style="list-style-type: none"> - Contractors are to ensure compliance with relevant legislation in relation to the management of hazardous substances. - All hazardous substances must be listed on a Hazardous Substances Inventory and current copies of Safety Data Sheets available. - Workers to be trained and competent in the handling and use of the hazardous substances. - All hazardous substances must be stored and labelled appropriately.
Exposure to untreated wastewater	Works at a wastewater treatment plant or works involving sewers	<ul style="list-style-type: none"> - Workers must be trained and competent for the task being undertaken. - Ensure location of wastewater is known and emergency procedures are in place in case of accidental exposure. - Ensure hygiene practices are followed including hand washing.
Working alone or in isolation	Working on your own or working where you are not easily seen or heard by another person.	<ul style="list-style-type: none"> - Have processes and procedures in place to manage workers who work alone or in isolation. - Maintain a means of contact with workers who work alone or in isolation. - Ensure tasks are low risk in nature.

Appendix 4 – Contractor Incident Reporting Process

Contractor Incident Reporting - Process



Appendix 5 – Contractor Health and Safety Management Key Performance Indicator Report

CONTRACTOR HEALTH & SAFETY MANAGEMENT KEY PERFORMANCE INDICATOR REPORT

General Information	
Contract:	Primary Works:
Authorised by:	Date:
Total Workers Hours / Month for Contract	

LEAD INDICATORS

Risk Management	
Number of hazards identified in the period <i>How many new workplace hazards work have been identified by workers in your business within the reporting period?</i>	0
Number of risks identified <i>Has your business met its PCBU obligation to manage risk to health and safety of workers by reviewing and renewing current hazards and risk controls, and implementing new controls for any newly identified and assessed hazards and risk?</i>	0
Number of plant, substance or structure risks notified to Council <i>Have all new hazards relating to plant, substance or structure been notified to council</i>	0
Number of Notifiable Work to WorkSafe NZ <i>Prior to commencement of "Particularly Hazardous Work" Notifiable Work has been completed online to WorkSafe NZ</i>	0

Emergency Management	
Emergency Plans are current <i>Emergency response plans are reviewed as required and are relevant to the current operational environment?</i>	Yes/No
Date of last emergency trial/evacuation conducted <i>Response procedure trials are carried out, recorded and any improvements made.</i>	

Engagement, Participation, and Representation Practices	
Toolbox / health & safety briefings held in the period where workers were involved <i>Is health & safety a regular topic at tool box meetings? Or does your business have specific health & safety briefings or meetings? Are these regular and are they documented? How many have occurred?</i>	0
Number of site visits conducted by 1 st or 2 nd tier managers <i>Number of site visits by the contractor projects manager and 1st or 2nd tier managers</i>	0

Training and Supervision	
Number of new worker health & safety inductions completed in period <i>Of all new workers (including new sub-contractors) who have started work for your business in the period, what percentage of workplace health & safety inductions have you completed on time?</i>	0
Total hours of training (industry and OHS) for workers completed in month/period <i>Is the system used to manage your business training requirements for workers up to date? Is all the training that workers in your business are required to have in order to carry out certain tasks up to date? Can you produce evidence of this (a register or training matrix)?</i>	0

Monitoring	
Health & safety policies and procedures reviewed to schedule and current <i>A periodic review cycle of your health & safety management system is present. This cycle is documented and the outcomes recorded. The timeframe for the review cycle is met.</i>	Yes/No
Number of Standard Operating Procedures (SOPs) reviewed in period <i>Have all relevant SOPs been reviewed as required by your system. Can you produce evidence of this?</i>	0
Number of inspections on plant, equipment, PPE <i>Do you have a schedule showing when an inspection is due and when it was completed?</i>	0
Number of health & safety audits completed in period <i>Audits look at the systems supporting health & safety practices within your company</i>	0

Health Monitoring	
Health Monitoring activities completed in period? <i>Number of mandatory health monitoring completed as identified by organisation risk registers</i>	0

LAG INDICATORS

Incident Management	
Number of workplace health & safety near misses reported in the period <i>How many workplace health & safety near misses or near hits have been actively reported by employees and sub-contractors?</i>	0
Number of incident investigation completed in the period <i>Have investigations of identified incidents been investigated as soon as practicable?</i>	0
Number of corrective actions implemented <i>Total of Corrective Action's from risks, audits & incidents</i>	0

Incident Reporting	
Number of first aid treatment incidents <i>Include those reported by sub-contractors engaged to carry out Council controlled work.</i>	0
Number of medical treatment injuries (MTI's) <i>Include those reported by sub-contractors engaged to carry out Council controlled work</i>	0
Number of lost time injuries (LTI's) <i>Include those reported by sub-contractors engaged to carry out Council controlled work</i>	0
Number of incidents reported to WorkSafe NZ – serious harm or notifiable events	0
Number of incidents – property damage or vehicle damage	0
Number of incidents/events resulting in significant environmental impact <i>Events to include spills, loss of containment, erosion and sediment run off</i>	0
Incidents or events involving critical risks? <i>Did any incidents involve any identified critical risks?</i>	Yes/No

Exception Reporting	
<p>Risk Register – Please provide with this report a current copy of the risk register used to manage risk to health & safety. Critical risks must be documented with controls signed off from management. <i>These should include additional data from sub-contractors employed by your business to carry out council controlled work.</i></p>	
<p>Incident reports – Please provide with this report a summary of any health & safety incidents, This should include for each a date and time, what took place, cause of incident, controls/actions taken, monitoring and review action plan. Near misses involving critical risk and notifiable events must be supported with a full investigation and these incidents are Notifiable Events to WorkSafe NZ.</p>	

Appendix 6 – Post Contract & Annual Contractor Evaluation

POST CONTRACT AND ANNUAL CONTRACTOR EVALUATION

Contractor		Review Period	
Project Reference		Assessed by	
Location		Date of Evaluation	

Safety Performance

Did the Contractor have any incidents resulting in injury during the period of the Contract? If YES detail below	
Yes/No	
Was the Contractor involved in any H & S events that resulted in impact on: financial, legal, reputation, environment?	
Yes/No	

Safety Management and Standards

Poor = 1 Satisfactory = 2 Good = 3 Very Good = 4 Excellent = 5	1	2	3	4	5
Rate the Contractors ability to prevent harm					
Rate the adequacy of the contractor's safety management during the contract					
Rate the adequacy of the contractor's safety auditing and inspections					
How good was the contractor's housekeeping? Were work areas left tidy, secure and free of uncontrolled risks?					
Rate the safety attitude and cooperation of the contractor's employees, including supervisors					
How well did the contractor observe the requirements of the site specific safety plan and/or other relevant documents?					
Rate the planning of safety during the contract. Was it positive and proactive?					
Rate the contractor's overall safety performance					
Comments:					

Contract

Poor = 1 Satisfactory = 2 Good = 3 Very Good = 4 Excellent = 5	1	2	3	4	5
How well were safety requirements understood?					
How responsive was the Contractor to requests relating to health & safety?					
How well did the contractor communicate about health & safety matters during the contract?					
Comments:					

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Work Performance

Poor = 1 Satisfactory = 2 Good = 3 Very Good = 4 Excellent = 5	1	2	3	4	5
How well was time managed by the Contractor? Was work managed so that timeframes did not compromise health and safety?					
How responsive was the Contractor to requests relating to health and safety matters?					
How well did the finished work comply with health and safety Contract specifications?					
How well did the Contractor 'self-manage' health and safety throughout the Contract?					
Comments:					

Overall Assessment

Would you use this Contractor again? If NO detail reasoning below	
Yes/No	
Have you linked this evaluation to the South Waikato District Council Contractor SafetyNet Database?	
Yes/No	

Contract/Project Manager Review

Name		Signature	
Date		Linked to SafetyNet	Yes/No

Appendix 7 – Definitions

Representative	A person to act on behalf of South Waikato District Council (Council).
Client	For the purpose of this Handbook the client is South Waikato District Council
CHSMF	Contractor Health and Safety Management Framework.
Contractor/ Consultant	A person and/or company engaged by Council do work for gain or reward (otherwise than as an employee).
Council Contracts/Project Manager	The South Waikato District Council employee authorised to engage, manage, and/or instruct the services on behalf of the Council.
HSWA	Health and Safety at Work Act 2015 – New Zealand's key workplace health and safety law. This came into effect on 4 April 2016.
PCBU	A person conducting a business or undertaking as defined in the Health and Safety at Work Act 2015.
Principal Contractor	The contractor with overall control and responsibility over a project or activity involving more than one contractor.
Pre-qualification	Health and safety pre-qualification certificate
SSSP	Site Specific Safety Plan
SWDC	South Waikato District Council
Workers/Operators	Workers include employees, contractors, sub-contractors, labour hire workers, apprentices and volunteer workers