



Health and Safety Guideline

HSG 6.1 Contractor Health and Safety Management

1. Purpose

This document provides guidance for the effective integration of health and safety requirements into contract management activities.

This guideline addresses the health and safety selection criteria for contractors, requirements for safe contractor conditions of work, requirements for health and safety induction and training, and monitoring and review of contractor activities and performance.

2. Scope

This Guideline applies to all health, safety and wellbeing activities of staff, students, visitors (including volunteers and contractors), Council members, and other persons interacting with the University of Newcastle (workers); the operations of staff of University aligned Research Centres and controlled entities; and all activities conducted by or on behalf of the University of Newcastle on and outside of the University's campuses.

3. Guidelines

3.1. Contractor registration and classification

Prior to contractor activity or work (planned or unplanned) on any University campus, the contractor company must be registered in the University's Contractor Management System – Beakon and have a nominated University staff contact for the contracted work. The University Contact is the University staff member engaging the contractor to undertake work and is the key contact at the University for the contract company.

The University will be the Principal Contractor for a construction project that it commissions unless it engages another PCBU and authorises it to have management or control of the workplace and discharge the duties of a Principal Contractor on to them.

Prequalification requires selection of skills and hazard areas for the type of contract work to be undertaken for the University. The Beakon system will automatically request the contractor provide supporting prequalification documentation including licences, training

certifications and skill requirements based on the hazard areas selected. The University Contact may assign additional requirements and/or inductions.

Following submission of the contractor prequalification and supporting documents, Infrastructure and Facility Services (the IFS Contract Representative) in collaboration with the University Contact will determine the risk category classification for the works to be undertaken, as shown in Appendix 1.

The risk category classification determines the inductions, competencies, and controls that contractor employees must undertake or complete.

3.2. Contractor evaluation and selection

The IFS Contract Representative and University Contact must review the capability of the contractor to undertake the work with regard to any health and safety requirements that have been determined based on the nature of the work and risk category. The selection criteria for a contractor will take into account but not be limited to:

- currency of any licences or registration required for the work to be performed;
- currency of relevant insurances, e.g. evidence of workers compensation and public liability insurance;
- the contractor's history of health and safety performance including previous performance review documentation;
- evidence of Work Health and Safety Plan (WHS) Management Plan, or three Safe Work Method Statements, that have been implemented by the proponent on a contract in the last 12 months.
- submission of a Work Health and Safety Plan (WHS) for major contracts and principal contractors prior to commencement of work, that includes how health and safety will be administrated and how the hazards of the job will be managed; and
- the ability of the contractor to have the work conducted by trained and competent employees.

The person(s) evaluating the information should be competent to do so, taking into account the nature of the works and the risks involved. Competency may be determined based on trade experience, job training or previous experience in assessing risk. Specialist advice should be sought from the Health, Safety and Wellbeing Team or other suitably qualified persons in relation to assessment on competency for high risk work.

The University Contact must provide information to potential contractors regarding University health and safety procedures they will be required to comply with during the contract, and as per the University of Newcastle [Tender Procedure](#) and [Procurement Policy](#) where required.

3.3. Contractor induction

The classification of the contract and the areas where work will be undertaken will determine the level of induction required to be completed by the contractor. Induction(s) must include as a minimum:

- completion of the online induction module for contractors;
- a specific onsite induction which includes all of the areas on the University campus where work will be conducted. This induction must include:
 - relevant known hazards in the work area;
 - applicable site procedures which must be followed e.g. Standard Operating Procedures (SOP) or similar and permits to work;
 - hazard and incident reporting procedures;
 - review of emergency response plans and procedures; and
 - first aid arrangements;

All induction attendance and training must be recorded in Beakon.

3.4. Permit to Work

The University of Newcastle 'Permit to Work' (PTW) system must be used when any high risk work is carried out including, but not limited to, any work in a confined space, demolition, excavation, hot works, entry to a substation, penetration, isolation, working at heights, asbestos and tree trimming, pruning or removal.

The PTW system is a structured process designed to control the risks applicable to specific activities of employees and contractors on all University-controlled sites, or when a site controlled by another entity has the ability to impact on The University's core business, for example excavating near underground high voltage cabling or gas mains.

The [Permit to Work Guide](#) provides an overview of the system and contractors should become familiar with its contents prior to use of the PTW system.

The Permit to Work application process is via the University's Contractor Management System - Beakon. Company and company employees will need to be registered in the system to login and complete permits to be assessed by the IFS Contract Representative and University Contact.

3.5. Emergency work in certified facilities

If emergency work is required to be completed in any certified facility noted as Category 1 (PC2), the contractor must have completed the Restricted Space Induction and a report of all category works sent to the facility manager and Health, Safety and Wellbeing Team prior to entry into the certified facility.

Entry without consultation with the laboratory / facility responsible person will result in a breach of facility registration and University certification with the Office of the Gene Technology Regulator (OGTR).

3.6. Injuries, events and notifiable incidents

Where an injury has occurred to a contractor's employee or subcontractor in relation to contracted works performed for the University, notification is required to be communicated to the IFS Contract Representative and University Contact within 24 hours and then reported to the Health, Safety and Wellbeing Team in accordance with guideline [HSG 5.1: Health, Safety and Wellbeing Event Notification and Investigation](#).

If the injury is classified as a notifiable incident, notification must be communicated to the University as soon as possible. Contractors may call upon University Security to provide immediate first aid in the first instance.

3.7. Monitoring health and safety requirements of contractors

For ongoing contract work, regular periodic inspection must occur to monitor whether the contractor continues to meet the expected health and safety requirements. IFS may engage external auditors to conduct specialist inspections and audits as required.

For high risk work and major construction projects, regular monitoring of the contractor's health and safety performance should be conducted by the University Contact and IFS Contract Representative. A monitoring regime for contracted works must be developed that considers:

- The number of contractors to be monitored;
- Level of risk;
- Performance confidence in each contractor;
- Coverage across contractors;
- Resourcing;
- Monitoring undertaken by University persons 'competent' to do so. Competency may be enhanced by the provision of monitoring tools/checklists and advice sought from OH&S or other suitably qualified persons;

- All concerns identified with the works must be brought to the attention of the contractor for their deliberation; and
- Any monitoring program developed, tools/checklists, issues observed and recommendations for action must be record;
- Conducting inspections to observe compliance with health and safety procedures;
- Reviewing health and safety documentation (e.g. inspection and Incident reports);
- Contract review meetings with minutes maintained to record health and safety discussions;
- Reviewing the currency of the insurances, permits and qualifications; and
- Discussing any non-compliance with health and safety procedures to identify the reason for the lapse, and review and confirm that corrective action has been implemented.

Performance issues or non-conformances with health and safety requirements must be recorded in Beakon. The auditor tool must be used by the IFS Contract Representative to conduct contractor observation, work order performance, safety performance reviews which are provided to and discussed with contractors in monthly contractor meetings.

3.8. Review of health and safety performance of contractors

The performance of operational contractors and management of the contract should be reviewed monthly by the IFS Contract Representative, to enable contractor accountability, learnings to be identified/shared and continual improvement of contractor performance and University processes. The monthly review must consider contractual performance criteria which must include but is not limited to the following health and safety measures:

- findings from any monitoring conducted relating to health and safety compliance;
- results of auditor observations;
- reported incidents; and
- external audit findings.

Written documentation of the review findings must be presented to the contractor, including agreed actions to be implemented, and process or system improvements achieved.

The intent of the review is also to assess the contractor's safety performance to determine their suitability for continued engagements. Serious or repeated non-conformances or negligence may result in contractor use being discontinued by being removed from Beakon.

3.9. Contractor Emergency Response

The performance of operational contractors and management of the contract should be reviewed monthly by the IFS Contract Representative, to enable contractor accountability, learnings to be identified/shared and continual improvement of contractor performance and

Prior to the work commencing, the IFS Contract Representative is responsible for ensuring that health and safety in an emergency is able to be effectively implemented and managed. This includes any University changes to emergency response provisions for the site and any adjacent affected areas. Prior to implementing any changes that affect the University emergency response, a contractor must consult with the University Contact and IFS Contract Representative.

3.10. Contractor Records

Records associated with the management of contracts must be identified, maintained and retained according to the [University's Records and Information Management Policy](#) and Guideline [HSG 7.1: Health and Safety Records and Document Control](#).

4. Definitions

In the context of the Health and Safety Management System Framework:

Executive Committee	Consisting of the Vice-Chancellor, the Deputy Vice-Chancellors, the Pro Vice-Chancellors, the Chief Operating Officer, Chief People and Culture Officer and the Chief Financial Officer, the University Secretary and the President of Academic Senate.
Hazard	A situation, condition, or event, including a person's behaviour, that exposes a worker to a risk to their health or safety during the course of work in a workplace, that has the potential to cause injury, illness or even death or to damage buildings, plant or equipment.
High Risk Work	High risk work includes the hazards identified by SafeWork NSW under high risk construction work. Works that: <ul style="list-style-type: none">• involves a risk of a person falling more than 2 metres, or• is carried out on a telecommunication tower, or• involves demolition of an element of a structure that is load bearing or• otherwise related to the physical integrity of the structure, or• involves, or is likely to involve, the disturbance of asbestos, or• involves structural alterations or repairs that require temporary support to prevent collapse, or• is carried out in or near a confined space, or• is carried out in or near:

	<ul style="list-style-type: none"> ○ a shaft or trench with an excavated depth greater than 1.5 metres, or ○ a tunnel, or • involves the use of explosives, or • is carried out on or near pressurised gas distribution mains or piping, or • is carried out on or near chemical, fuel or refrigerant lines, or • is carried out on or near energised electrical installations or services, or • is carried out in an area that may have a contaminated or flammable atmosphere, or • involves tilt-up or precast concrete, or • is carried out on, in or adjacent to a road, railway, shipping lane or other traffic corridor that is in use by traffic other than pedestrians, or • is carried out in an area at a workplace in which there is any movement of powered mobile plant, or • is carried out in an area in which there are artificial extremes of temperature, or • is carried out in or near water or other liquid that involves a risk of drowning, or • involves diving work <p>High risk work additionally includes any other activities identified as high risk by risk assessment.</p>
IFS Contract Manager (Representative)	A University of Newcastle employee who has engaged a contractor to undertake works; or an employee of the maintenance and facilities services contractor who has engaged a contractor to undertake works for UON.
Incident	An unplanned event that causes, or has the potential to cause, illness or injury to a worker or damage to building, plant or equipment.
Induction	Includes providing information in relation to applicable health and safety policies and procedures, emergency procedures, incident reporting, hazard reporting and other health and safety information relevant to the areas where the worker will be working and includes an online induction and onsite induction.
Leader / Supervisor	Any member of the University who is responsible for supervising staff and/or undergraduate or postgraduate students and/or for leading research projects.
Permit to Work	A formalised process implemented to control work and access to identified areas designed to prevent incidents in the workplace. It is the written system is used to control certain types of work or work areas that are potentially hazardous.
Principal Contractor	Means a person conducting a business or undertaking (PCBU) who commissions a construction project for that project, unless they engage another PCBU to be the principal contractor for the duration of the project. The PCBU who commissions the construction project must authorise the nominated principal contractor to have management or control of the workplace and discharge their duties as the principal contractor.

Standard Operating Procedures	A document outlining the steps required to carry out a particular task safely and without harm to health. It identifies the work/tasks in a logical sequence and the relevant health and safety risk controls required to eliminate or minimise the risks of the identified hazards.
University Contact	Means the University employee or conjoint responsible for arranging and managing a specific contract for services on behalf of the University. This may be the Project Manager, Facilities Coordinator or other relevant person who has instructed these works be done.
Worker	Includes an employee, conjoint, student on work experience, contractor, sub-contractor, and volunteer. A person is a worker if the person carries out work in any capacity for the University or another person conducting a business or undertaking, including work as: (a) an employee, or (b) a contractor or subcontractor, or (c) an employee of a contractor or subcontractor, or (d) an employee of a labour hire company who has been assigned to work in the person's business or undertaking, or (e) an outworker, or (f) an apprentice or trainee, or (g) a student gaining work experience, or (h) a volunteer, or (i) a person of a prescribed class.

5. Responsibilities

A comprehensive list of health, safety and wellbeing responsibilities is provided in the guideline [HSG 1.2: Roles and Responsibilities](#).

6. References & Related Documents

The following documentation is referenced in, or applicable to this Guideline:

[HSG 1.2: Roles and Responsibilities](#)

[HSG 5.1: Health, Safety and Wellbeing Event Notification and Investigation](#)

[HSG 7.1: Health and Safety Records and Document Control](#)

[HSG 6.2: Health and Safety in Procurement](#)

[University of Newcastle Permit to Work System Guide \(UON IFS 002\)](#)

[University of Newcastle Tender Procedure](#)

[University of Newcastle Procurement Policy](#)

[University of Newcastle Records and Information Management Policy](#)

[SafeWork Australia: WHS duties in a contractual chain: Factsheet](#)

7. Amendment History

Version	Date of Issue	Approval	Section(s) Modified	Details of Amendment
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1, 2	October 2016	Manager Health and Safety	-	Original versions with latest amendment for HSG 6.1 Contractor Health and Safety Management
3	July 2023	CPCO	All	1. Updated content in all sections 2. Added new/renamed Related Documents 3. Added Amendment History 4. Amended document control header and footer

8. Appendices

Appendix 1 Contractor Classification Table

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CONTRACTOR CLASSIFICATION TABLE		
Section A: Contract Works Risk Classification – What class if risk is involved with the contract work?		
High Risk	Medium Risk	Low Risk
Applies to high risk work such as, but not limited to, activities listed below:	Applies to medium risk work such as, but not limited to, activities listed below:	Applies to low risk work such as, but not limited to activities listed below:
<ul style="list-style-type: none"> Hot work (e.g. oxy, grinding, etc.) Working in confined spaces/restricted areas. Working at height. Working with gas or electrical work (excluding normal use). Use of hazardous substances (excluding UON use). Excavation work. Grounds/gardening work. Use of load shifting equipment and other mobile plant e.g. tractor, mower. Work with boilers and/or pressure vessels. Use of scaffolding, dogging, or rigging. Mechanical repair/servicing of machinery, vehicles. Construction or refurbishment. Demolition work or removal of asbestos. <p>If the answer is 'no' the contract is <u>not</u> HIGH RISK – proceed to Medium Risk section.</p>	<ul style="list-style-type: none"> On site admin support > 2 weeks. IT technicians involved in cabling works. Small maintenance or refurbishment job with handheld power tools. Entertainers with equipment (e.g. bands). Cleaners. Caterers. <p>If the answer is 'no' the contract is <u>not</u> MEDIUM RISK proceed to Low Risk section.</p>	<ul style="list-style-type: none"> On site admin support of 2 weeks or less. Photocopy repair. IT technicians providing desk side support. External Consultant on site. External auditor(s) on site. Single task with supervision and no power tools. Presenters for seminars/meetings. Basic delivery persons (e.g. equipment, stationary) <p>If the answer is 'yes' the contract is classified as <u>LOW</u> RISK proceed to Section B.</p>
: Minimum H&S Requirements prior to work commencing (Objective evidence to be maintained)		
High Risk Requirements	Medium Risk Requirements	Low Risk Requirements
UON controlled sites: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate JSAs or safe work method statements received from contractor. Licence and qualification details provided. Contractor insurance details provided. Contractor evaluation completed. Online and area specific induction completed. Sign in and/or receive relevant pass. Contractor controlled sites: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate Evidence of adequate safety management system received from contractor. Contractor insurance details provided. Contractor evaluation completed. 	UON controlled sites: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate. Sign in and/or receive relevant pass. Online and specific area induction completed Complete/provide Job Safety Analysis (JSA) safe work method statements for contractor controlled work where required. Contractor controlled sites: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate. Evidence of adequate safety management system received from contractor where appropriate. Contractor insurance details provided. Contractor evaluation completed. 	UON controlled site: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate. Licence and qualification details provided Visitor induction (e.g. signs in and receive site visitor pass and instruction). Attend area specific induction if going to be a repeat visitor and low levels of supervision apply. Contractor controlled sites: <ul style="list-style-type: none"> Tender & Contract docs completed where appropriate. Evidence of adequate safety management system received from contractor where appropriate. Contractor evaluation completed. Insurances and qualifications sighted
Section C: Contractor Supervision Requirements (Objective evidence to be maintained)		
High Risk Requirements	Medium Risk Requirements	Low Risk Requirements
UON controlled sites: <ul style="list-style-type: none"> Monitoring of contractor to ensure H&S requirements are met. 'Permit to Work' requirements maintained. Scheduled meetings with contractor(s) as required. Incident management follow up as required. Retain relevant records. Contractor controlled sites: <ul style="list-style-type: none"> Scheduled meetings with contractor(s) as required. Site check or audit of contractor to ensure H&S requirements are met Incident management follow up as required. 	UON controlled site): <ul style="list-style-type: none"> On site monitoring of contractor to ensure that H&S requirements are met. General monitoring as required throughout the course of contract works. Incident management follow up as required Contractor controlled sites: <ul style="list-style-type: none"> Scheduled meetings with contractor(s) as required. Site check of contractor to ensure H&S requirements are met. Incident management follow up as required 	UON controlled site): <ul style="list-style-type: none"> Appropriate visitor supervision provided. Incident management follow up as required. Retain relevant records.