|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Contractor work health and safety compliance checklist | 904 |
| Regional Maintenance |  | For information about this form see procedure: OCP-04 Contractor management |

|  |
| --- |
| RM Project Engineer to strike through [~~strike through~~] non- applicable requirements before issuing to the Contractor.  Project Engineer to check for compliance when completed and returned by the Contractor. **(Delete this box before sending to the Contractor).** The generic version of this checklist has been developed againstthe NSW WHS Management System and Auditing Guidelines 6th Edition (updated Dec 2019).  The Site Specific label used against questions provides guidance to the Project Engineer regarding questions that should be included when a contractors system has been previously fully assessed using this entire checklist and only site or project specific requirements are required to be reviewed.  **The Site Specific label must be removed prior to sending.** |

**This document is to be completed by the Contractor to show how their documentation complies with TFNSW requirements.**

**Contract**

**Contractor**

| **To be completed by Contractor** | | | | **To be completed by RM** |
| --- | --- | --- | --- | --- |
| **NSW Government WHS Management System Guidelines** | **Requirement** | **Y/N** | **Reference to clause/page in your WHS Plan.** | **Complies**  **Y/N**  **Comments/Actions (where there is non-compliance)** |
| **A** | WHS MGT SYSTEM/PLAN - GENERAL |  |  |  |
| **Q1** | Is the WHS Plan: |  |  |  |
|  | 1. Actively maintained and up to date? |  |  |  |
|  | 1. An easily understood document? |  |  |  |
|  | 1. Accessible to all workers? |  |  |  |
|  | 1. Does it clearly describe organisational responsibilities (in a chart)? |  |  |  |
|  | 1. Does it clearly describe WHS policies and objectives? |  |  |  |
|  | 1. Does it clearly describe training records and other documents that must be kept? |  |  |  |
|  | 1. Does it clearly describe position descriptions? |  |  |  |
|  | 1. Does it clearly describe WHS procedures? |  |  |  |
| **1** | SENIOR MANAGEMENT COMMITMENT |  |  |  |
| **Q1** | Does the WHS Plan clearly describe: |  |  |  |
|  | 1. Specific senior management responsibilities and commitment to continual improvement? |  |  |  |
|  | 1. Specific responsibilities of management and other personnel responsible, including their, names, qualifications and accountabilities for the following matters: |  |  |  |
|  | * 1. Allocating adequate resources to deal with WHS matters? |  |  |  |
|  | * 1. Ensuring that WHS policies, Management Systems and Plans are communicated to workers? |  |  |  |
|  | * 1. Managing compliance with WHS legislation, regulations, standards and codes? |  |  |  |
|  | * 1. Injury management and rehabilitation of injured workers and others? |  |  |  |
|  | * 1. Ensuring WHS workplace consultation is operating? |  |  |  |
| **2** | **COMMUNICATION AND CONSULTATION** |  |  |  |
| **Q1** | Does the Plan clearly describe: |  |  |  |
|  | 1. How establishment of the WHS committee, HSR or WHS Representative or other arrangements for WHS consultation agreed by management, workers and service providers will be facilitated? |  |  |  |
|  | 1. How site consultation arrangements will be reviewed with workers and service providers? |  |  |  |
|  | 1. How you will ensure that all work groups will be represented by either the WHS committee or Representative or are involved in the site specific or other agreed arrangements? |  |  |  |
|  | 1. How you will elect the WHS Committee or HSR or WHS Representative, if applicable to the agreed site communication and consultation arrangements? |  |  |  |
|  | 1. How you will ensure that each member of the WHS Committee, HSR or WHS Representative undertakes WHS consultation training? |  |  |  |
|  | 1. How you will record, publicise and encourage workers representatives to participate in the work on a regular basis? |  |  |  |
|  | 1. How you will consult on the job through daily communication between site managers, workers and service providers? |  |  |  |
|  | 1. How access will be provided to relevant WHS information through notice boards, toolbox meetings, circulars and safety alerts? |  |  |  |
|  | 1. How you will liaise with your service providers to coordinate WHS consultation and communication on worksites and regular communication with unions? |  |  |  |
| **3** | **MANAGING SUBCONTRACTORS AND CONSULTANTS** |  |  |  |
| **Q1** | Does the Plan clearly describe: |  |  |  |
|  | 1. How subcontractors, consultants and other service providers in the supply chain will be assessed and selected on their ability to comply with WHS requirements? |  |  |  |
| Site Specific | 1. How appropriate WHS requirements will be specified in all contracts entered into, including subcontractors providing the principal contractor with a copy of SWMS for high risk construction work activities? |  |  |  |
|  | 1. How subcontractors and other service providers will be provided with access to the WHS Management Plan and be informed of its content? |  |  |  |
| Site Specific | 1. How subcontractors and other service providers’ compliance with SWMS will be monitored? |  |  |  |
| Site Specific | 1. How poor performance of subcontractors and any other service providers will be managed? |  |  |  |
| **4** | **DESIGN (if applicable) -***This section is* ***only applicable*** *if you intend to bring a structure to site that has been designed to be incorporated or form part of the works that are to be undertaken by your organisation. The required documentation as stated below must be associated* ***only*** *with the particular design and not with other designs of the same type or structure.* |  |  |  |
| **Q1** | Does the Plan clearly describe: |  |  |  |
| Site Specific | 1. How the Client and designer(s) will be consulted about:  * Minimising or eliminating health and safety risks arising from the design during construction work * Any information they have in relation to hazards and risks at or in the vicinity of the workplace where the construction work is to be carried out? |  |  |  |
| Site Specific | 1. How safe design information will be obtained from the Client or Designer? |  |  |  |
| Site Specific | 1. How a review of the safe design information adopting a hazard identification and WHS risk assessment approach will be required? |  |  |  |
| Site Specific | 1. How the hierarchy of controls will be applied to design out or otherwise manage hazards? |  |  |  |
| Site Specific | 1. How the process for consultation with subcontractors and consultants’ end users about hazards and WHS risk management will be included? |  |  |  |
| Site Specific | 1. The communication and consultation process for discussing with workers and service providers WHS design issue and risk control measures? |  |  |  |
| Site Specific | 1. How it aims to achieve reasonable and safe constructability; safety with use; longevity of product; reduced, simplified and safe maintenance; and safe disposal? |  |  |  |
| Site Specific | 1. How the safe design information, including outcomes from the review of this information, will be incorporated? |  |  |  |
| **5** | **RISK MANAGEMENT** |  |  | ***Minimum Mandatory Requirement*** |
| **Q1** | Are procedures clearly described: |  |  |  |
| Site Specific | 1. For identifying WHS hazards, assessing risks and devising risk controls that eliminate risks where reasonably practicable or minimise risks according to the Hierarchy of Controls? |  |  |  |
| Site Specific | 1. For selection of the most effective risk control measures? |  |  |  |
| Site Specific | 1. For systematically reviewing the adequacy of the risk assessment and the effectiveness of the control measures and making improvements? |  |  |  |
| Site Specific | 1. For dealing with WHS hazards and related risks in the event of an incident or illness/injury? |  |  |  |
| Site Specific | 1. For developing and implementing SWMS? |  |  |  |
| Site Specific | 1. For reviewing subcontractors’ SWMS? |  |  |  |
| Site Specific | 1. To enable compliance with relevant WHS, workplace injury management and workers compensation legislation, standards and codes? |  |  |  |
| Site Specific | 1. For preparing and communicating Site Safety Rules? |  |  |  |
| Site Specific | **TRAINING –** *No one is allowed to carry out work on an TFNSW site until they have satisfied the requirements of completing the WHS General Construction Induction Training. In addition to this prerequisite, it is mandatory for all work personnel to undertake site specific induction training. The Contractor must also show compliance to Separation of People and Plant when working to Contractor systems.* |  |  |  |
| Site Specific | Are procedures clearly described: |  |  |  |
| Site Specific | 1. To identify the training needs of management, supervisors, workers, subcontractors and visitors? |  |  |  |
| Site Specific | 1. For providing site WHS induction training, task training and refresher training? |  |  |  |
| Site Specific | 1. For providing WHS committee/WHS or HSR representative with consultative training? |  |  |  |
| Site Specific | 1. For providing specific training necessary to conform with WHS requirements? |  |  |  |
| Site Specific | 1. (See Emergency Response in Section 8) |  |  |  |
| Site Specific | 1. For keeping appropriate training records? |  |  |  |
| Site Specific | 1. For making sure all workers on site have completed the General Construction Induction training? |  |  |  |
|  | **INSPECTION, TESTING and SERVICING** |  |  |  |
|  | Does the WHS Management Plan clearly: |  |  |  |
| Site Specific | 1. Describe procedures for the development of a schedule for inspection, testing and servicing frequency (prior to start of work) based on the level of risk involved? |  |  |  |
| Site Specific | 1. Define procedures for maintaining records of inspection, testing and servicing? |  |  |  |
|  | Does your WHS Management Plan describe procedures that cover the inspection and where relevant, testing and servicing of: |  |  |  |
| Site Specific | 1. Incoming products, such as materials, plant and equipment? |  |  |  |
| Site Specific | 1. Work site environment? |  |  |  |
| Site Specific | 1. Work methods generally? |  |  |  |
| Site Specific | 1. Access and exits? |  |  |  |
| Site Specific | 1. Hazard and risk control measures? |  |  |  |
| Site Specific | 1. Adherence to Site Safety Rules? |  |  |  |
| Site Specific | 1. Electrical Safety? |  |  |  |
| Site Specific | 1. Plant and Equipment? |  |  |  |
|  | Do Inspection plans: |  |  |  |
| Site Specific | 1. Specify the standard against which inspection, testing and servicing will be conducted? |  |  |  |
| Site Specific | 1. Specify particulars of the inspection, testing and servicing program? |  |  |  |
| Site Specific | 1. Assign responsibility for inspection, testing and servicing? |  |  |  |
| Site Specific | 1. Specify the competencies required by persons conducting inspection, testing and servicing? |  |  |  |
| Site Specific | 1. Specify arrangements for identifying test status of plant, equipment and materials? |  |  |  |
| Site Specific | 1. Specify the requirements for the accuracy and calibration of testing equipment? |  |  |  |
| Site Specific | 1. Specify that the records are readily available and will be kept according to legislative requirements? |  |  |  |
| **Q4** | Health Surveillance and Monitoring: |  |  |  |
| Site Specific | 1. Does the WHS Plan describe the process for identifying the work activities where workers exposure to hazards requires health surveillance and monitoring? |  |  |  |
| Site Specific | 1. Does the WHS Plan specify the requirements in legislation regarding the nature and frequency of health surveillance and monitoring? |  |  |  |
| **8** | **INCIDENT MANAGEMENT AND CORRECTIVE ACTION** |  |  |  |
| **Q1** | Does the WHS Management Plan clearly describe: |  |  |  |
| Site Specific | 1. Procedures for detecting and documenting issues and incidences of non-compliance and non-conformance? |  |  |  |
| Site Specific | 1. Does your WHS Management Plan clearly define procedures for quarantining and disposal of non-conforming materials and substances? |  |  |  |
| **Q2** | Does your WHS Management Plan clearly show how information about issues and corrective action will be communicated: |  |  |  |
|  | 1. Throughout the entire organisation? |  |  |  |
| Site Specific | 1. To TFNSW? |  |  |  |
| Site Specific | 1. To your engaged service providers? |  |  |  |
| Site Specific | 1. To relevant authorities, including incident notification to Work Cover NSW? |  |  |  |
| **Q3** | Does your WHS Management Plan clearly define procedures for: |  |  |  |
| Site Specific | 1. Incident/Illness/Injury reporting and investigation, including identification of the root cause? |  |  |  |
| Site Specific | 1. Implementing corrective action? |  |  |  |
| Site Specific | 1. Monitoring the effectiveness of corrective actions, including keeping records? |  |  |  |
| Site Specific | 1. Implementing injury management and return to work plans? |  |  |  |
|  | **EMERGENCY PLANNING and RESPONSE** |  |  |  |
| FSC- Site Specific | Does your WHS Management Plan clearly include identified potential emergencies and define procedures for Emergency Planning & Response? |  |  |  |
| 6 (5) Site Specific | Are procedures clearly described for providing training in emergency procedures? |  |  |  |
| **9** | **PURCHASING, HANDLING, STORAGE, PACKAGING AND DELIVERY.** |  |  |  |
| **Q1** | Does your WHS Management Plan clearly define procedures for: |  |  |  |
| Site Specific | 1. Pre-purchase identification of potential WHS risks that may be introduced to the work site from supplied plant and materials? |  |  |  |
| Site Specific | 1. Assessing suppliers’ ability to comply with the organisation’s WHS specifications for the provision of plant, materials and services? |  |  |  |
| Site Specific | 1. Verifying that client-supplied plant and materials meet WHS specifications? |  |  |  |
| Site Specific | 1. Checking that suppliers provide all relevant WHS information for their plant and materials? |  |  |  |
| Site Specific | 1. Maintaining records of supplied plant and materials identified as having potential WHS risks? |  |  |  |
| Site Specific | 1. Appropriate licensing, certification and qualification of anyone who will be involved in hazardous processes? |  |  |  |
| Site Specific | 1. Safe handling and storage of products, including hazardous substances and dangerous goods? |  |  |  |
| Site Specific | 1. Assessment and control of manual handling risks? |  |  |  |
| Site Specific | 1. Assessment and control of materials handling risks? |  |  |  |
| Site Specific | 1. Identification of hazardous chemicals and dangerous goods through appropriate labelling? |  |  |  |
| Site Specific | 1. Provision of information on hazardous chemicals (such as though SDSs)? |  |  |  |
| Site Specific | 1. Maintenance of a register of hazardous chemicals and dangerous goods and associated records of risk assessments? |  |  |  |
| Site Specific | 1. Checking compliance with registration requirements of plant and design? |  |  |  |
| **10** | **CLIENT REPORTING AND PROJECT PERFORMANCE MEASUREMENT** |  |  |  |
| **Q1** | Does the Plan clearly: |  |  |  |
| Site Specific & PU | 1. Describe procedures for establishing, monitoring and reviewing WHS objectives and targets for corporate and project level? |  |  |  |
| Site Specific | 1. Incorporate objectives and targets? |  |  |  |
| Site Specific | 1. Specify requirements in regards to preparing regular WHS performance reports/records, e.g. monthly? |  |  |  |
|  | 1. Describe the process for collating WHS performance reports for all projects and benchmarking performance across all your operations? |  |  |  |
|  | 1. Require the review of the performance reports by Senior Management, to consider and provide feedback to the Project Team? |  |  |  |
| **Q2** | Does the Plan clearly describe procedure for the timely reporting of WHS issues to TFNSW, including: |  |  |  |
| Site Specific | 1. Worksite incidents, including such things as near misses, contact with hidden services? |  |  |  |
| Site Specific | 1. WorkCover NSW site visit? |  |  |  |
| Site Specific | 1. WorkCover NSW Notices issued? |  |  |  |
| Site Specific | 1. Visits by Unions, FSC or similar to the site? |  |  |  |
| Site Specific | 1. Results of internal reviews, site inspections and implementation of inspection and testing plans? |  |  |  |
| Site Specific | 1. Results of audits, including non-conformances and the implementation of corrective actions? |  |  |  |
| **11** | **INTERNAL REVIEW** |  |  |  |
| **Q1** | Does the WHS Management Plan clearly define procedures for systematically reviewing (including audits) WHS activities and management plans, including: |  |  |  |
|  | 1. Carrying out reviews at regular intervals? |  |  |  |
|  | 1. Identifying deficiencies in the WHS management system and plans? |  |  |  |
|  | 1. Specifying the responsibilities of those carrying the review? |  |  |  |
|  | 1. Documenting reviews? |  |  |  |
|  | 1. Conducting regular audits of implementation and compliance with your WHS Management System or plans? |  |  |  |
| Site Specific & PU | 1. Identifying the root cause of any breaches/non-conformances and implementing corrective actions? |  |  |  |
| Site Specific | 1. Implementing follow up procedures to assess the effectiveness of any corrective action? |  |  |  |
|  | 1. Communicating the results of reviews to Senior Management and the status of corrective actions? |  |  |  |
| **12** | **DOCUMENTATION AND RECORDS** |  |  |  |
| **Q1** | Does the WHS Plan include procedures and detail the following records for maintenance: |  |  |  |
| Site Specific | 1. Document control procedures for WHS documentation and data, including their identification, approval, maintenance, dissemination, retention, withdrawal and disposal? |  |  |  |
|  | 1. Records management procedures for maintaining WHS records, including their identification, filing, retrieval and retention? |  |  |  |
| **Q2** | Does the Plan clearly describe record keeping requirements for: |  |  |  |
| Site Specific | 1. Induction and training records? |  |  |  |
| Site Specific | 1. Skills, competency and licence register? |  |  |  |
| Site Specific | 1. Hazard identification, risk assessments and associated safe working procedures? |  |  |  |
| Site Specific | 1. Reports of incidents and illness/injury? |  |  |  |
| Site Specific | 1. Illness/injury and incident investigation reports? |  |  |  |
| Site Specific | 1. Illness/injury statistics, such as lost time frequency rates and duration rates? |  |  |  |
| Site Specific | 1. Maintenance, testing, servicing and repair of plant and equipment? |  |  |  |
| Site Specific | 1. Use of hazardous substances and associated monitoring? |  |  |  |
| Site Specific | 1. Inspection and test reports? |  |  |  |
| Site Specific | 1. Particulars of qualifications held by individuals? |  |  |  |
|  | 1. Internal review reports? |  |  |  |
| Site Specific | 1. WHS design reviews? |  |  |  |
|  | 1. Minutes of WHS meetings? |  |  |  |
|  | 1. WHS audit reports? |  |  |  |
|  | 1. Worker injury management records? |  |  |  |
|  | 1. Evidence of actions taken as a result of WHS meetings? |  |  |  |
|  | 1. Corrective action records? |  |  |  |
|  | 1. Work safety records generally? |  |  |  |

Contractor Verification

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| The Contractor or Contractor’s representative who completes the checklist completes this section to confirm that their documentation complies with TFNSW requirements. | | | | | |
| Contractor name: |  | Position: | |  | |
| Company name: |  | Contact Phone: | |  | |
| Email: |  | | | | |
| Signature: |  | | Date: | |  |

Project Engineer Verification

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Note:** For estimated contract values over $250k the contractor must prepare a WHS Management Plan. | | | | |
| WHS Management Plan content addressing the specified requirements verified? | Yes | □ | No | □ |
| Contractor to work under their own WHS Management plan? | Yes | □ | No | □ |

Where the contractor is to work under the RM system, hard copies of RM RSMP/PSP (or sections thereof) provided to the Contractor must be controlled.

|  |  |  |  |
| --- | --- | --- | --- |
| PE name: |  | Date: |  |
| PE signature: |  | | |

**Guidance notes (**delete this section prior to sending to the contractor**)**

1. This checklist is prepared by the RM Project Engineer and used once the successful contractor is selected and a Form-901 Contractor Pre Engagement Questionnaire has been completed.
2. The intention of this checklist is for the Contractor to list where their WHS Management Plan meets TfNSW requirements. It will also identify if there are any deficiencies in the contractor’s WHS Management Plan that need to be supported by RM to ensure compliance in the delivery of works. If only part compliant, or if there are specific sections of the RM SMS that the Contractor is required to work to, these are listed above.
3. The Project Engineer must review the Contractor’s WHS planning documents using this form prior to commencement of work on site.
4. Once the Checklist is completed and returned by the Contractor, retain a copy for your site records and if a panel contractor send a copy to the Procurement Unit for their records.
5. Responsibility to review Contractors documentation and to carry out surveillance and audit against RMS and RM’s requirements for safety, environmental and quality management as follows:

|  |  |  |
| --- | --- | --- |
| **Type of contract** | **Procurement Unit (RPU)** | **Project Engineer** |
| Panel contract | Reviews contractor’s system certification, prequalification and registration currency as required.  Assesses contractor’s generic system documents (SEQ) suitability to be applied to RM projects as required.  Supports the audit program. See *Internal Audit* on ROMS. | See “All projects and contracts” below. |
| One-off / discrete  project contracts | Tender Evaluation Committee being constituted by both a member from the RPU and the project:   1. Validates that tender submissions satisfy the SEQ requirements as specified in the tender documents. 2. Undertakes a desktop review of contractor’s system certification, prequalification and registration currency as required as part of tender evaluation process. | |
| All projects and contracts | Reviews contractors system certification, prequalification and registration currency as required. | Manages contractors on site including site specific SEQ assessment and evaluation as well as surveillance and monitoring the implementation of contractor’s system requirements.  Assessment of site specific SEQ system documentation (Quality Plan, ITPs, WHS Management Plan, CoR Management Plan, SWMS, CEMP, TMPs, VMPs etc.) confirming all requirements are addressed and suitable to commence work.  Manages contractors on site including site specific SEQ risk management through assessment and evaluation as well as surveillance and monitoring the implementation of contractor’s system requirements.  Ensures compliance with Contractor Surveillance Plan (*Form-910*)  Refer to *OCP-04 Contractor Management* procedure for levels of systems required by contractors.  Supports the audit program. See *Internal Audit* on ROMS. |

See OCP-04 *Contractor Management* for full requirements on specifying system requirements in the contract, assessing contractor’s management systems and managing contractors on site.