

OHS CONTRACTOR MANAGEMENT PROCEDURE

SCOPE

This Procedure relates to all activities under the management and control of Monash University and applies to affected staff, students, contractors and visitors.

For the purpose of this procedure, references to 'the University' includes activity at Monash University Australia, Monash University Malaysia, Monash University Indonesia, Monash Suzhou, the Monash University Prato Centre and World Mosquito Program Ltd (and its subsidiaries), unless indicated otherwise.

PROCEDURE STATEMENT

The purpose of this procedure is to provide an overarching framework to enable a proactive approach to the development of local business processes, for the effective management of contractors providing services as outsourced functions, relating to Occupational Health and Safety at Monash University.

1. Abbreviations

BPD	Buildings and Property Division
CRP	Contractor Responsible Person
OHS	Occupational Health and Safety
OH&S	Monash Occupational Health and Safety
MUOHSC	Monash University Occupational Health & Safety Committee
S.A.R.A.H.	Safety and Risk Analysis Hub

2. Contractor Induction

- 2.1 Any contractor engaged to perform physical work must undertake contractor induction training (with the exception of contractors engaged by a Principal Contractor, on a closed site, where the Principal Contractor has their own induction process). The induction may include the [Buildings and Property Division \(BPD\) Monash Contractor Induction](#) and/or the [Local Area Induction](#) as deemed appropriate by the CRP. The BPD Monash Contractor Induction is mandatory for all contractors engaged through BPD to perform physical work.
- 2.2 Records of Building and Property Division Monash University contractor inductions are retained in the Sine Workflows database.
- 2.3 A contractor and/or CRP must inform persons with management and control of local areas of their intention to attend the site in order to perform requested works in those areas.

- 2.4 Those persons must then determine if the contractor requires specific local area induction based on:
- The type of work to be performed;
 - The location in which the work is to be performed (e.g. high-risk areas);
 - The level of supervision provided (i.e. contractors working unsupervised must receive a local area induction).
- 2.5 Local area induction must be recorded using the [Contractors and Visitors - Local Area Induction Checklist](#).
- 2.6 Records of local induction must be maintained by the local area.

3. Contractor Management Components

- 3.1 Setting Expectation
- 3.1.1 Contractors need to be made aware of Monash University's expectations with regard to OHS and any specific OHS requirements, such as Permit to Work.
- 3.1.2 Expectations that are set should:
- Serve a genuine OHS purpose;
 - Reflect the risk reduction benefit of the expectation versus the workload burden for the contractor and/or Monash University.
- 3.2 Tender
- 3.2.1 General requirements of contractors with regard to OHS must be included in tender documentation in order that the contractor can factor them into any quotation.
- 3.3 Contract
- 3.3.1 Any requirements of contractors should be included in the works contract in order that the contractor can be held accountable for them.
- 3.4 Meetings
- 3.4.1 Any requirements set out for the contractor should be reiterated during meetings with the contractor and clarified, if necessary.
- 3.4.2 Any job specific requirements that arise should also be raised at the meeting and minutes of the meeting documented.
- 3.5 Website
- 3.5.1 Information with regard to general expectations of contractors, should be included in the Buildings and Property Division (BPD) Contractor Website.
- 3.6 Contractor Induction (General)
- 3.6.1 Information with regard to general expectations of contractors must be included in the Monash University Contractor Induction package.
- 3.7 Contractor Induction (Local)
- 3.7.1 Information with regard to any local expectations of contractors should be included in the Monash University Local Contractor Induction.

4. Information Exchange

- 4.1 Information exchange involves the consideration of:
- The OHS related information the contractor requires from Monash University;
 - The site specific OHS related information Monash University requires from the contractor; and
 - For what purpose it will be used.
- 4.2 Scoping Works
- 4.2.1 Prior to works being scoped/commencing, the CRP must provide all known information to contractors on significant matters that have the potential to impact their health and safety.
- 4.2.2 This information may relate to the specifics of the job, general work environment, Monash University infrastructure, or known areas of high risk, such as:

- What needs to be done to achieve the required outcome?
 - What are the key activities required to perform the task?
 - Where is the task to be undertaken, including:
 - Risks associated with the work activities and/or work environment, e.g. sensitive equipment or controlled environments;
 - Location of any asbestos containing materials;
 - Working at height;
 - Confined Space entry required;
 - High student populations or on-campus residential areas;
 - Other works in the vicinity; and
 - Any regulatory or licensing implications, e.g. certified facilities that require notification to the Monash Research Office (MRO).
- 4.2.3 Consideration must be given to how Monash University may impact the Contractor and the Contractor's impact to Monash University, in relation to OHS. Some examples are listed below;
- 4.2.4 Impact by Monash University;
- Adequate access provisions;
 - Location of the job; and
 - Restrictions due to site/occupants/Monash residents/adjacent operations (e.g. research).
- 4.2.5 Impact by Contractor:
- Noise;
 - Dust; and
 - Closures of areas.
- 4.2.6 Basic information relating to hazards and significant risks associated with the works must be included in the scope of works at tender, to the extent they are known at the time.
- 4.2.7 This will enable the contractor to submit a realistic quote that incorporates appropriate safety requirements.
- 4.2.8 At this point 'higher level' information such as the contractor's OHS management system and generic safe work method statements (SWMSs) may be sought. These can provide a level of confidence in the contractor but may not address the specific risks associated with the work.
- 4.2.9 For particular higher risk work activities, the CRP must require specific information as to how the work is intended to be conducted safely (apart from works within a closed-site). This will typically be in the form of a Safe Work Method Statement that specifically addresses the higher risk activities to be conducted and the risk controls to be implemented. This may require site meetings prior to the works commencing to gain an understanding of the risks from both sides. The level of risk involved in the works is a major factor in determining the extent to which a contractor should be required to document those risks and the intended measures to mitigate them.

5. Evaluation

- 5.1 If a contractor is required to provide information to the CRP then the information provided must be evaluated, if it is to serve any useful purpose.
- 5.1.1 Information to be considered includes:
- Who is competent, to the extent that is reasonable, to evaluate the site-specific information?
 - Does the information provided demonstrate a commitment to ensuring a safe work environment and demonstrate how they intend to do this?
 - Does the intended method of work control the risks, as far as reasonably practicable?
- 5.2 Competency
- 5.2.1 The person 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.
- 5.3 Evaluation Process
- 5.3.1 Any intended methods of work, from a safety perspective, should be taken into consideration when deciding to whom to award the contract, especially as these may affect the cost of the works and therefore the quote.

- 5.3.2 Any job specific information provided (Safe Work Method Statement) must be evaluated, to the extent that it is reasonably practicable for Monash University to do so.
- 5.3.3 Monash University is not required to demonstrate technical expertise when evaluating the information, but our resources do enable us to review the information from a general safety perspective. Advice should be sought from OH&S or other suitably qualified persons.
- 5.3.4 Any concerns identified with the intended works must be brought to the attention of the contractor for their consideration.
- 5.3.5 Monash University may not dictate how the works must be conducted but can decide to cancel the work if deemed appropriate to do so.

6. Monitoring

- 6.1 A monitoring program of contracted works must be developed to assess contractor adherence to safe work practice and any requirements that were placed upon the contractor by Monash University.
- 6.2 Information to consider includes the:
 - Level and frequency of monitoring;
 - Contractor adhering to the scope of works; and
 - Work being conducted is in a safe manner
- 6.3 Job/Contractor Monitoring
 - A monitoring regime for contracted works must be determined that considers:
 - The number of contractors to be monitored;
 - Level of risk;
 - Performance confidence in each contractor;
 - Coverage across contractors;
 - Resourcing;
 - Monitoring shall be undertaken by Monash University persons 'competent' to do so. Competency may be enhanced by the provision of monitoring tools/checklists;
 - Monash University is not required to demonstrate technical expertise when monitoring works. Advice must be 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 recorded

7. Review

- 7.1 The performance of the contractor and management of the contract must be reviewed, to the extent that it is reasonable to do so. This will enable contractor accountability, learnings to be identified/shared and continual improvement of contractor performance and Monash University processes.
- 7.2 Information to consider includes:
 - Contractor performance and compliance with Monash University requirements;
 - How evidence of performance should be recorded and presented to the contractor; and
 - Was the contract managed well?
- 7.3 Any review process must include, and not be limited to:
 - Findings from any monitoring conducted;
 - Reported incidents; and
 - External audit findings.
- 7.4 Written documentation must include:
 - Information presented to the contractor;
 - All agreed actions to be implemented; and
 - Process outcomes.
- 7.5 The review process may also include discussion and action on any punitive measures deemed necessary.

- 7.6 Performance review documentation of the contractor can also be used as evidence when determining the performance confidence in the contractor for future engagements.

8. General

8.1 Task Creep

- 8.1.1 During the course of many contracts the scope of the works may change as unexpected situations arise.
- 8.1.2 In the event that work outside of the original scope is required to be undertaken then the 'new' work must also be assessed in line with this procedure.

8.2 High risk works

- 8.2.1 The advice of OH&S (or a suitably qualified external person) must be sought in the event that the contracted work may involve any of the following but is not limited to:
- Prescribed activities (e.g. Working at height; Confined space entry; Earthworks, Hot works);
 - Asbestos;
 - Significant disruption to emergency systems; or
 - Electrical work in a hazardous zone area.

8.3 Emergency preparedness

- 8.3.1 The CRP is responsible, prior to the works commencing, for ensuring that health and safety in an emergency is able to be effectively managed and reviewed during the contract. This includes any Monash University changes to emergency response provisions for the site and any adjacent affected areas.

Prior to implementing any changes that affect Monash University emergency preparedness, contractors must consult with:

- CRP
- Affected Building/Floor Wardens
- Affected staff/students
- Security

9. Responsibility for Implementation

- 9.1 A comprehensive list of OHS responsibilities is provided in the document [OHS Roles, Responsibilities and Committees Procedure](#). A summary of the specific responsibilities relevant to Contractor Management is provided below.

9.1.1 **Head of Academic/Administrative Unit:** It is the responsibility of the head of academic/administrative unit to ensure that procedures and systems are in place in their area to manage all contractors they engage effectively.

- 9.1.2 **Contractor Responsible Person (CRP):** To the extent that is reasonably practicable, the CRP is responsible for:
- Overseeing the contracted works for the duration of the works;
 - Ensuring that significant hazards/risks associated with the works have been determined and that adequate controls measures are implemented by the contractor;
 - Ensuring that contractor inductions and other site/job specific preparation requirements are in place before works commence;
 - Ensuring that works are monitored to the extent that is reasonable.

9.1.3 **Contractors and Sub-Contractors:** To ensure, so far as is reasonably practicable, that work over which the contractor/sub-contractor has management and control, is undertaken in a manner that is as safe and without risk to health.

10. Tools

- 10.1 The following tools are associated with this procedure:

[Contractors and Visitors - Local Area Induction Checklist](#).

11. Records

- 11.1 Refer to [OHS Records Managements Procedure](#)

DEFINITIONS

A comprehensive list of definitions is provided in the Definitions tool. Definitions specific to this procedure are provided below.

Key word	Definition
Closed Site	A construction site where works to be conducted exceed \$350k and where a Principal Contractor has been appointed by Monash University and: <ul style="list-style-type: none"> ● The site has solid hoarding/fence/walls with a lockable door or gate and all works are contained within this perimeter; ● There is a site office where all staff entering or leaving the site are required to register daily; and ● The site has nominated or onsite amenities.
Contractor	Any person or business engaged by Monash University who enters into a contractual arrangement to conduct work for Monash University, but whose primary employer is not Monash University.
Contractor Management	The process of managing work that is outsourced by Monash University. In the context of this procedure 'contractor management' relates to OHS.
Contractor Responsible Person (CRP)	The Monash University staff member/s responsible for engaging and/or supervising a contractor to complete works at Monash University sites.
Contract Scoping	The assessment of the expected extent and nature of services, products and materials that will be required to result in a completed project and any safety issues associated with the task.
Performance Confidence (evidence-based trust)	The level of confidence that can be attributed to a contractor to perform works in a safe manner, determined by evidence from past performance and experience. Evidence may include: <ul style="list-style-type: none"> ● Documented reviews of previous performance; ● Extent of previous engagements; ● Incident/injury statistics; or ● References.
Preferred list of contractors	Contractors that have successfully undertaken a formal application/tender process to provide services for Monash University for a fixed-term. These contractors may be engaged to perform works that are relatively short in duration and 'low' cost but on a frequent basis.
Principal (Head) Contractor	A contractor who has been engaged directly by Monash University to conduct work, provide a service, or fulfill the requirements of a contractual agreement.
Physical Work	All works of a 'physical' nature that involve maintenance, servicing, installation, testing, repair, refurbishment or renovation.
Reasonable expectation	'Reasonable Expectation' is determined by a number of factors. 1. Primary Factors: <ul style="list-style-type: none"> ● The level of OHS risk associated with the contracted works, and ● The level of management and control Monash University has over the work/work site. 2. Secondary factors that also need to be considered include: <ul style="list-style-type: none"> ● Duration of work; ● Cost of work; ● The contractor's familiarity with the work/environment; ● Performance confidence (evidence-based trust); ● The resources available to Monash University.
Sub-contractor	Any person engaged by the Principal contractor to assist with the agreed works. Any person subsequently engaged by these persons to assist is also deemed to be a sub-contractor.
Suitably qualified person	Person who can demonstrate that, through their experience, knowledge, qualifications and/or skills, they are competent to assess the specific contracted works (from an OHS perspective) to the extent that is considered reasonable for those particular works.

Task creep	A situation where “the task is set, but to achieve the agreed outcome, more work is required than what the employer and contractor had originally agreed on” (WorkSafe Victoria, 2011).
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GOVERNANCE

Parent policy	OHS&W Policy
Supporting procedures	OHS Roles, Responsibilities and Committees Procedure OHS Records Managements Procedure
Supporting schedules	N/A
Associated procedures	Australian and International Standards ISO 45001:2018 Occupational Health and Safety Management Systems
Related legislation	Accident Compensation Act 1985 (Vic) Dangerous Goods Act 1985 (Vic) Environment Protection Act 1970 (Vic) Equipment (Public Safety) (Incident Notification) Regulations 1997 (Vic) Occupational Health and Safety Act 2004 (Vic) Occupational Health and Safety Regulations 2017 (Vic)
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Procedure owner	Health, Safety and Wellbeing Manager
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Content enquiries	ohshelpline@monash.edu

DOCUMENT HISTORY

Version	Date Approved	Changes made to document
1	March 2018	Contractor Management Procedure, v1
1.1	July 2020	<ol style="list-style-type: none"> 1. Clarified the requirements for local area induction in relation to contractors. 2. Added link to the Contractors and Visitors - Local Area Induction Checklist. 3. Removed reference to BEIMS and updated with reference to Sine Workflows as the record management system for contractor inductions. 4. Added a “Tools” section. 5. Added references to OHS procedures cited in this document. 6. Updated Certification logo.
1.2	July 2021	<ol style="list-style-type: none"> 1. Added wording in the Procedure Statement to include reference for outsourced functions. 2. Updated hyperlinks



1.3	July 2021	<ol style="list-style-type: none">1. Updated certification logo in footer to ISO 450012. Updated the Standard to ISO 45001 under “Associated procedures” in the Governance table3. Updated OHS Policy under ‘Parent Policy’ to OHS&W Policy
1.4	October 2021	<ol style="list-style-type: none">1. Updated Scope statement to include Monash University Malaysia, Monash University Indonesia, Monash Suzhou and the Monash University Prato Centre.
1.5	December 2021	<ol style="list-style-type: none">1. Updated Scope statement to include World Mosquito Program Ltd (and its subsidiaries).2. Updated title of Procedure owner in Governance table.