

WESTERN SYDNEY
UNIVERSITY



Enterprise Contractor Management Plan



Table of Contents

Enterprise Contractor Management Plan	1
Section 1 – Contractor Management Plan – Common Clauses	6
Precepts.....	6
In-Force	6
Purpose/Objects.....	6
Governance and internal Control.....	7
Structure of this Management Plan.....	7
Scope of this Management Plan.....	7
Organisation Structures.....	8
Acronyms and Abbreviations Table	8
Definitions.....	8
Contract Class Types.....	8
Data Collection.....	9
Types of Contractors.....	9
Construction	9
Suppliers.....	9
Services	9
Exclusion - Consultants	10
Contract Management	10
General Specification	10
Requesting a Contractor.....	11
Approving Non-Approved Contractors.....	11
WHS Contract Specification.....	12
Contractor Evaluation and Selection.....	12
Training and Licences.....	12
Codes of Practice WorkSafe NSW	13
Insurance.....	13
Injury and Incident Management.....	14
Injury notification	14
Injury management and rehabilitation	14
Notifiable Incident on WSU Controlled Site	14
Incidents on a site controlled by a Principal Contractor.....	15
Safety Breaches	15
Specifications and Guidelines	16

WESTERN SYDNEY UNIVERSITY



Contractor Document Review.....	17
Insurance Documentation Review.....	17
Financial Reports Document Review.....	17
WHS&W Documentation Review.....	17
Quality of build or service.....	18
SWMS Document Review.....	18
WHS, consultation, communication, training, and reporting.....	18
Consultation.....	18
Engagement with University wide WHS Committees and HSRs'.....	18
Communication.....	18
Training and competency.....	19
Reporting.....	19
Measurement and evaluation.....	19
Records and records management.....	20
Keeping of Records (WSU).....	20
Keeping of Records (Contractor).....	21
Privacy Provisions as applied to Contractor information.....	21
Key Performance indicators.....	21
Process Owners.....	22
Evaluation and Retention of Contractors.....	22
Audit and Inspection.....	23
Section 2 - Minor works, supply, and services.....	24
Plan Deployment and compliance.....	24
General WHS Duties, Obligations and Responsibilities.....	24
Contractors.....	24
Responsibilities.....	25
Contractor Registration and Induction.....	25
Induction.....	25
Site / Area Specific Induction.....	26
Risk Management and Assessment.....	26
Minor Construction works.....	26
Implementation of Contractors Safety Documentation.....	27
Contractor Consultation and Communication.....	27
Works Pre-start Meeting.....	27
Project Management Meetings.....	27
Project Commissioning Meeting.....	28

WESTERN SYDNEY UNIVERSITY



Registers and or Records	28
Security - Minor Works, Maintenance and Service providers	28
(159) <i>Escort requirements</i> -	29
Section 3 – Major Works – Projects >\$250,000 (Complex maintenance, fit outs, and construction). 30	
Plan Deployment and Compliance (OEC) Division of Infrastructure and Commercial	30
Engaging Contractors for Major works.....	30
Contracts / Subcontracts	30
Planning and Scoping for Risk.....	31
Principal Contractor	32
Contractor Registration and Induction.....	33
Induction	33
Site / Area Specific Induction.....	33
Risk assessment.....	34
Permits to Work.....	34
Construction Certificate	35
Implementation of Contractors Safety Documentation.....	35
Contractor Consultation and Communication	35
Works Pre-start Meeting	35
Project Management Meetings	35
Project Commissioning Meeting	36
Training.....	36
Training and competency	36
Monitoring of Contractors.....	37
Security - Major Works.....	37
Related Documents and Forms.....	38
Policies	38
Procedures	38
Guidance Notes	38
Forms	38
Registers and Records	39
Related External Documents and Forms	39
Legislation and Regulation	39
Standards.....	39
Codes of Practice	39
Document Meta Data.....	40
Annexure 1.....	41

WESTERN SYDNEY UNIVERSITY



Acronyms and Abbreviations Table	41
Annexure 2	43
Definitions Table.....	43



Section 1 – Contractor Management Plan – Common Clauses

Precepts

(1) This Plan has been written to compliment the [Procurement Management Plan](#) and the WHS Risk Management Plan and Procedures and should be read in conjunction with those documents.

(2) The intent of the development of this Management Plan has been to create an enterprise wide standard to meet all applicable WSU Quality systems requirements leveraging on the knowledge and experience of the current stakeholders to ensure its implementation and compliance.

In-Force

(3) The management plan is a five (5) year plan that will take effect from 1 May 2023.

(4) The plan will be reviewed at the end of that period on or before 30 April 2028, unless the following matters trigger a review:

- Key Performance Indicators (KPI's) of the Plan are not being met.
- Changes or additional KPI's need to be added to the plan
- Changes in legislation or industry standards
- Changes in process or structure of WSU
- Changes in the risk profile
- Changes in applicable Tort law
- The plan is no longer fit for purpose.

Purpose/Objects

(5) This Western Sydney University (WSU) Contractor Management Plan (The Management Plan) will apply to both the organisation and its contractors. The Plan has the specific aim of providing a clear understanding of what is required to manage contractor engagement and the execution of contracts within the constraints of WSU Quality systems requirements, that provides a framework to develop procedures and guidelines for the management of contractors and workflows.

(6) The document is intended to establish robust commercial and contract management practices across the University. Enhancing protection against commercial risk and developing effective commercial relationships.

(7) Western Sydney University has an ongoing commitment to an ESG (Environmental, Social and Governance) framework with many initiatives promoting leading business practices. The University is



keen to work with suppliers who make a continued effort to drive ESG initiatives within their business. Western Sydney University aims to foster and share the same ideals with its prospective partners by encouraging equity, equality, environmental and social responsibility across the supply chain.

(8) The University will continue to support the efforts of the broader community in helping to achieve gender equity across all our collaborations. All strategy, planning, practices, and actions will aim to include explicit and systematic consideration of the interests, perspectives needs and priorities of all genders, at all levels, in all areas of the workplace.

(9) For further information on Western Sydney University's gender equality initiatives please see the Office of Equity and Diversity [webpage](#).

Governance and internal Control

(10) This Management Plan promulgates an advanced professional service and advice position. It seeks to optimise internal controls, compliance risk assessments, financial performance, and reporting processes with the objective that they are understood and implemented, driving improved performance and outcomes.

(11) The WSU is responsible for the deployment of and compliance with this management plan and its review when there are changes in legislation, regulation, industry standards and guidance notes and or directed requirements from WSU Quality management systems and structures. The review will take place in concert with all WSU stakeholders.

Structure of this Management Plan

(12) The Plan has been divided into core sections that are applicable to both Major and Minor contractors and sections that deal with variations dependant on the contract type.

[Section 1- Contractor Management Plan – Common Clauses](#)

[Section 2 - Minor Works, Consulting, Supply and Services](#)

[Section 3 - Major Works – Projects >\\$250,000](#)

(13) This document may be varied, withdrawn, or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be relied upon as the current version. The Policy DDS is the 'source of truth for Policy and procedures and it is the responsibility of staff printing this document from the Policy DDS for the latest version.

Scope of this Management Plan



(14) All staff and persons engaged by Western Sydney University (WSU) involved in the procurement and management of contractors must comply with the requirements of this plan and the associated processes wherever acting on behalf of the WSU.

(15) This Management Plan applies to all personnel and activities of WSU whilst on properties owned, leased, or occupied by WSU with the exception of the Vietnam Campus - 17 Pham Ngoc Thach St, Ward 6, District 3, Ho Chi Minh City.

(16) Depending on the work or services being carried out and WSU's terms of engagement, different legislative requirements will be considered.

(17) When a third party is being considered to carry out services or undertake consultancies for WSU, an assessment must be completed to identify whether individuals will be treated as an employee or a contractor.

(18) If you are unclear refer to the Australian Tax Office web site:

<https://www.ato.gov.au/business/employee-or-contractor/how-to-work-it-out--employee-or-contractor/>

Organisation Structures

(19) Refer to the Organisational Charts available on the intranet.

Acronyms and Abbreviations Table

(20) See Annexure 1.

Definitions

(21) See Annexure 2.

Contract Class Types

(22) Government Information Public Access Act (GIP) identifies three classes of contract which are in part defined as:

- Class 1 – Contracts which have or are likely to have a value of at least \$150K
- Class 2 – Class 1 contracts where there has not been a public tender process and/or the contract involves an obligation to operate infrastructure or assets
- Class 3 – A Class 2 contract with a value of more than \$5M



(23) Each of the contract classes has a different level of data disclosure required.

Data Collection

(24) To ensure compliance, an executed copy of all contracts must be provided to the contract management team. For more information, please contact the team on:

- Email - contract.management@westernsydney.edu.au
- WesternNow - [General Enquiry](#) (opens in new window)

(25) The Western Sydney University register of contracts can be located on the [University Contract Reporting Page](#).

Types of Contractors

(26) Contractors have been classified into four primary categories one of which, Consultant, has been excluded from requirements of this Management Plan as the procurement and management process for consultants is under a different framework.

(27) Contractor categorisation, in part, determines how WSU manages the contractor in terms of information and documentation required as a precursor to coming on site, and the manner of induction, identification, registration, risk management process and security requirements applied for the task or project.

(28) For minor works, services, and suppliers, (see below) other factors include specific hazardous work and/or hazardous locations, security concerns, whether the contractor is escorted or unescorted, time on site etc.

Construction

(29) Major Works >\$250,000 Maintenance and Construction Work; and Principal Contractors.

Minor Works <\$250,000 Maintenance and Construction Work.

Suppliers

(30) Those companies and/or businesses that supply and/or replenish consumables including but not limited to cleaning product and equipment, laboratory and medical equipment and consumables, stationary, printer and multi-function device management, and or maintenance/servicing of proprietary plant and equipment.

Services

(31) Those companies and/or businesses that provide service engineers, equipment, and/or products to deliver cleaning, security, waste collection, printer and multi-function device management, courier services event entertainers, vendors and stall operators either contracted by the University or third parties.



Exclusion - Consultants

(32) Those companies or businesses and/or individuals that provide labour-hire staffing, consultants (not involved in works or construction), and guest/contracted lecturers.

Contract Management

General Specification

(33) **Contracted Suppliers** - Agreements with Contracted Suppliers must be managed in accordance with the University's Contract Management Framework and Delegations of Authority Policy.

(34) **Scope of Work Compliance** - it is the responsibility of the University Authorised Delegate managing the Contracted Supplier, to ensure that all Goods and/or Services are delivered, implemented, provided and/or received in accordance with the required contractual arrangements and obligations

(35) **Variations** - Any variations to the contracted Scope of Work should be immediately assessed for financial, commercial, and operational impact to the University.

(36) Variations to an agreement with a Contracted Supplier must be agreed to in writing by the Authorised Delegate and the Supplier's nominated representative in accordance with the provisions of the agreement and must include (as a minimum) the following information:

- a clear summary of the adjustments to the Scope of Works.
- agreed adjustments to remuneration (with supporting detailed information), and
- any agreed changes to timeframe.

(37) The addition of a new Scope of Work to an existing Contract is a Procurement activity and must be approved in accordance with the Procurement Procedures.

(38) If it is determined necessary to vary a Scope of Work to include additional works (that could not have been reasonably anticipated) and the value of these additional works raise the Total Cost of Ownership of the engagement to a higher threshold in the Procurement Matrix (RFT Evaluation Panel Member Scoring), then justification as to why the Contracted Supplier is best qualified to perform the additional works is required in the manner required by Procurement Services, and appropriate Authorised Delegate approval is required for the amended Total Cost of Ownership.

(39) **Contract Review** - regular reviews and meetings will be implemented with Contracted Suppliers to ensure that contractual arrangements are being managed effectively and for the benefit of the University, as well as to ensure commercial and operational risks are being appropriately managed and any commercial and/or performance issues addressed.

(40) **Contract Extensions** - if an extension clause is included in the Contracted Suppliers agreement, and the value of the initial Procurement activity has been approved by the appropriate Authorised Delegate including that extension value, then the extension can be progressed without the requirement for any additional Procurement activity. If not, then any extension must be treated as a new Procurement activity. A Contract extension must be executed in a manner consistent with the original Contract and the relevant Delegate for the Total Cost of Ownership, including the original contract and any accumulated Contract extensions or variations, must authorise the extension. If in doubt, the relevant University staff should consult with Procurement Services.



(41) **Cost Benefit Analysis** – regular reviews should be undertaken to ensure that any benefits determined during Procurement are realised throughout the life of the Contracted Supplier activities. This may require a cost benefit analysis or other comparative analysis to be undertaken of any Procurement activity and/or regular reviews by Procurement Services Engagement of Contractors

(42) There are numerous circumstances in which contractors, independent contractors and subcontractors are engaged in the course of the University's operations.

Requesting a Contractor

(43) When a service need is identified that cannot be undertaken by the University, the person requiring this service must contact an Approved Service Provider, or one endorsed by the business unit. A copy of the current Approved or Endorsed Contractor list can be found in the [Restricted Items Knowledge Article](#) or upon request through the Office of Estate and Commercial (OEC) Designated Employees may only engage a contractor that has been approved or endorsed.

(44) Examples of services that may be required include, but are not limited to:

- Air conditioning maintenance.
- Scientific Equipment repairs
- Plumbing and electrical repairs.
- Painting.
- Roof plumbing.
- Landscape care.
- Window cleaning and repairs; and
- Pest Control

(45) The [Delegation Register](#) gives information on the financial delegation limits held by various staff categories and should be checked prior to the engagement of contractors to ensure due process and that the cost of the service does not exceed the employee spend limits.

Approving Non-Approved Contractors

(46) For non-approved contractors, the employee must notify and seek authorisation from the Business Unit prior to their engagement. The contractor will then be required to take part in a Contractor Induction. The checklist requires that the contractor provide verification of insurances (workers compensation and public liability) and specific Safe Work Method Statement (SWMS) that are relevant to the work being undertaken.

(47) The completed checklist and copies of the requested documents are then reviewed by the Designated Employee. Based on the review, the Designated Employee is to evaluate whether or not the contractor can comply with WSU WHS requirements. The Designated Employee can use the Contractor Hazard Identification and Control Table which is provided by the Contractor, to assess the quality of SWMS submitted as part of the approval process. Where the Designated Employee has any concerns about the SWMS, they should refer the documents to the WHSW unit for review.

(48) Contractors that are subsequently approved are to be added to the Approved Contractor List by the Maintenance Plan and Projects Management Teams and or and the Designated Officer of the business unit and the Designated Employee informed that the contractor is now approved.



WHS Contract Specification

(49) WHS risk is not linked to the value of the procurement. Where potential health and safety risks are identified in relation to contracted works, the contract specification shall clearly state the health and safety requirements as identified in the planning phase. The greater the more hazardous works to be performed, the greater the need for a detailed contract specification and Safety Management Plan that clearly defines the obligations of the parties.

Contractor Evaluation and Selection

(50) The contractor must provide the required safety information as part of the procurement process (e.g. tender submission, quotation). The safety information shall be considered when determining the contractor suitability to perform the contracted work. This process is outlined in WSU Procurement Procedure.

(51) Where a potential contractor's system is deemed to be below the acceptable standard, the Designated Employee engaging the contractor must provide direction in the use of the WSU Work, Health Safety and Wellbeing Risk Management Procedure and request the potential contractor to resubmit their WHS risk management documentation.

(52) Contractors should be able to demonstrate as a minimum:

- A good understanding of hazards and risks relevant to the scope.
- Licences, certificates, and trade qualifications (as applicable to the work).
- Plant and equipment registrations / maintenance records.
- The ability to undertake risk assessment for the work being undertaken.
- Current insurance policies for Workers Compensation, Public Liability, and Professional Indemnity.
- The contractor, its employees and sub-contractors have completed appropriate training with respect to the type of construction work and / or activities; and,
- Construction work related legislative requirements e.g., safe work method statements for high-risk work.
- Higher risk contracts may require:
 - a formally developed WHS management system.
 - WHS safety plans; and,
 - reporting on WHS performance.

Training and Licences

(53) The contractor must be able to produce and evidence all training provided to workers and licenses held that are required to perform the work activities.

(54) This may include, but is not limited to:

- General Construction Induction Card (mandatory for all persons who perform construction work).
- Food business licence.
- Australian high-risk work licence.
- Electrical work licenses.
- Service NSW to obtain building licenses and permits, and or
- Work activity specific competency certificates (including high-risk construction work related competencies).



(55) The Business Unit is responsible for identifying these requirements as part of the planning which requires a WHS risk assessment and safety management plan.

Codes of Practice WorkSafe NSW

(56) An approved code of practice is a practical guide to achieving the standards of health, safety and welfare required under the WHS Act and the Work Health and Safety Regulations (the WHS Regulations).

(57) A code/s of practice applies to anyone who has a duty of care in the circumstances described in the code. In most cases, following an approved code of practice would achieve compliance with the health and safety duties in the WHS Act, in relation to the subject matter of the code. Like regulations, codes of practice deal with particular issues and do not cover all hazards or risks that may arise. The health and safety duties require duty holders to consider all risks associated with work, not only those for which regulations and codes of practice exist.

(58) Codes of practice are admissible in court proceedings under the WHS Act and Regulations. Courts may regard a code of practice as evidence of what is known about a hazard, risk or control and may rely on the code in determining what is reasonably practicable in the circumstances to which the code relates. The WHS Act and Regulations may be complied with by following another method, such as a technical or an industry standard, if it provides an equivalent or higher standard of work health and safety than the code. An inspector may refer to an approved code of practice when issuing an improvement or prohibition notice.

(59) Codes of practice have been developed by Safe Work Australia as a model code of practice under the Council of Australian Governments' Inter-Governmental Agreement for Regulatory and Operational Reform in Occupational Health and Safety for adoption by the Commonwealth, State, and Territory governments.

(60) Key Codes of Practice referred to in this Manual are accessible through the WorkSafe NSW website:

<https://www.safework.nsw.gov.au/resource-library/list-of-all-codes-of-practice> .

(61) These Codes of Practice include, but are not limited to:

- Hazardous manual tasks
- How to manage and control asbestos in the workplace
- How to manage work health and safety risks
- Managing the risk of falls at workplaces
- Managing the work environment and facilities
- Work health and safety consultation, co-operation, and co-ordination
- Construction work
- How to manage work health and safety risks

Insurance

(62) Contractors must hold certificates of currency prior to commencing works and for the duration of the works. Contractors in every instance should be requested to provide evidence of certificates of currency.

Types of insurance required may include, but is not limited to:



- Workers Compensation insurance / personal accident insurance.
- Public Liability insurance.
- Motor vehicles.
- Professional indemnity (where applicable)
- Special interest (where applicable)

(63) Contract terms and conditions specify insurance requirements. For further information refer to the WSU Procurement Procedure.

Injury and Incident Management

Injury notification

(64) WSU adheres to the mandated injury reporting timelines detailed on the Work Cover website, through reporting via the WSU WHS Unit, and direct reporting by Principal Contractors on larger work sites.

(65) The University WHS Unit must be notified that a worker has received an injury as soon as possible after the event occurred, and not more than 24 hours for insurance notification.

(66) The University WHS Unit must then notify WSU's insurer after becoming aware that a worker has received a workplace injury that seems to be a significant injury. A significant injury is one that prevents a worker from undertaking their normal jobs for more than seven days.

(67) For injuries other than significant injuries, the University WHS Unit must notify the insurer within seven days after becoming aware that the worker has received an injury.

Injury management and rehabilitation

(68) WSU operates within the broader WSU policies and procedures for returning injured staff to work under the Workers Compensation Act¹, Regulation² and guidelines, regarding the management of workers compensation, injury management, occupational rehabilitation under return-to-work programs.

(69) It is incumbent on Contracting organisations engaged by WSU to comply with the requirements of SIRA (State Insurance Regulatory Authority), iCare and the organisations Insurers to provide suitable duties to staff, contractors and subcontractors who are injured on site.

Notifiable Incident on WSU Controlled Site

(70) Where a Notifiable Incident occurs on a worksite controlled by WSU, the Designated Employee must inform the WHS unit immediately. Once the people involved in the incident are safe, the incident site must not be disturbed until WHS provide clearance.

(71) Where a contractor is on site for 1 day to 30 days it is a requirement of the contractor to:

- Ensure every notifiable injury, hazard or incident is reported to WSU as immediately practicable as per the agreed methodology with the contractor.

¹ Workers Compensation Act (NSW) 1987

² Workers Compensation Regulation (NSW) 2016



- Engage in WHS meetings with the WHS representative at a frequency as determined by the contract.

(72) The WHS unit must give the Regulator notice of the workplace incident immediately after becoming aware of the incident occurring and by the fastest means possible.

(73) The WHS unit in consultation with the Designated Employee will conduct the subsequent investigation into the incident and report the incident using the Regulator's approved form within 24 hours of the incident occurring.

(74) All work health and safety incidents must be managed in accordance with the WHS&W Incident and Hazard Management Procedure as prescribed in this Management Plan.

Incidents on a site controlled by a Principal Contractor

Incidents that are notifiable to the Regulator

(75) Where a notifiable incident occurs on a worksite controlled by a principal contractor appointed by WSU, the principal contractor must give the Regulator notice of the workplace incident.

(76) This must occur immediately after the principal contractor becomes aware of the workplace incident occurring and by the fastest means possible. The Designated Employee responsible for the construction work is to be informed of the incident at this time and given a copy of the incident report.

(77) It is the Designated Employee's responsibility to then promptly record the incident and attach the incident notification form to an online WHS incident notification form in WesternNow

(78) The Designated Employee must advise the WHS unit as soon as possible of the Notifiable Incident.

(79) The Designated Employee and the WHS unit are to participate in or be kept informed of the progress of subsequent investigations. Subsequent investigation reporting is to be provided to the Designated Employee and promptly attached to the incident in the risk management system.

Incidents that are not notifiable to the Regulator

(80) For all incidents that are not notifiable, the contractor must record the incident and advise the Designated Employee:

- Within 24 hours of the incident occurring; or
- Immediately of any incident which involves a WSU worker, a member of the public, and/or WSU infrastructure.
- Communication must be in the form of phone call, followed by email, followed by a report.
- The Designated Employee is required to notify WHS unit immediately and lodge an incident report through Western Now.

Safety Breaches

(81) WSU reserves the right to order cessation of work, or request to modify work practice(s) in an effort to control any hazards impacting safety which the Designated Employee or the WHS unit believes to be compromised.



(82) This includes failure of the contractor to implement, monitor and / or enforce the required work health and safety requirements prescribed by the Act, applicable WSU procedure(s), contractual agreement and any reasonable instruction provided by the Designated Employee or the WHS unit.

(83) The University Authorised Delegate and / or the WHS unit must address any unsafe behaviour directly with the contractor. Any request to modify work practices can only be made in consultation with the contractor.

(84) Depending on the circumstances surrounding the safety breach, the University Authorised Delegate in consultation with the WHS & Wellbeing unit and WSU Procurement, may decide to take steps to terminate the contract.

(85) Any safety breach, whether an instance or repeated behaviour, may lead to the contractor not being suitable to undertake future work for WSU.

(86) WSU Procurement shall update the contractor's record to reflect the contractor's safety performance record and note that the contractor is not to be engaged by WSU for future work.

(87) Contractor safety breaches shall be reported to the WHS&W unit.

Specifications and Guidelines

(88) All works are to follow WSU specifications and guidelines, and broader University policies, procedures, and guidelines, including:

Specifications for infrastructure, building services and landscaping as provided by the WSU key contact or Project Manager.

WSU guidelines including those relating to electrical, hydraulic, and environmental services, as applicable.

WSU policies and procedures, including those relating to the WSU Environmental Management System, Sun protection Policy and associated guidelines, and others as applicable.

(89) Current Contract Management Guidelines are held by OEC: Examples of guidelines include those relating to:

- Architectural Design Standards
- WSU Asbestos Management Plan
- BMS Design Standards
- CAD Manual
- Engineering Services Design Standards
- Electrical Services Design Standards
- Approved External Light Fittings
- Approved Internal Light Fittings
- Fire Detection Guidelines
- Furniture Standards
- Outdoor Furniture Standards
- Fittings Standards



- Hydraulic Standards
- Landscape Master Plans and Guidelines Volumes 1 and 2 (prepared by FJMT)
- Mechanical Services Design Standards Version 4
- Electronic Security System Installation Specification (prepared by Campus Safety and Security)
- Signage Manual
- Space Guidelines
- Telecommunications Standards - Structured Cabling (prepared by ITDS)
- Mid-sized Theatre with Split Screen Display (Prepared by ITDS)
- Small Teaching Space with Digital Media (prepared by ITDS)

Contractor Document Review

Insurance Documentation Review

(90) Prior to commencing work activities, the engaged contractor shall supply, where not previously supplied copies of all in-force certificates of currency, and or where a policy expires during the period of the contract, a copy of the renewal policy Certificate of Currency prior to the expiry date of the policy.

(91) Non-compliance Actions - If the contractor fails to comply with the agreed WHS requirements, the contractor is to be issued with an email notice of the hazard or near miss, and the contractor will issue a Non-Conformance Report and Designated Employee will request the contractor to cease all activities until insurances are paid and in-force.

Financial Reports Document Review

(92) The contractor's financial data over the past three years, including corporate score checks for contracts over \$1,000,000 are reviewed in the Procurement process as a one-off action.

(93) Non-compliance Actions - Nil

WHS&W Documentation Review

(94) Prior to commencing work activities and during the period of the contract, the engaged contractor shall supply safety documentation specific to the work being conducted to the WSU's Representative via an auditable (traceable method). The Designated Employee engaging the contractor shall retain specified WHS documentation. The WHS documentation will be determined during the planning phase e.g., asbestos clearance certificates, mould remediation certificates.

(95) Non-compliance Actions - If the contractor fails to comply with the agreed WHS requirements, the contractor is to be issued with an email notice of the hazard or near miss, and the contractor will issue a Non-Conformance Report. The Authorised Delegate, or Designated Employee then enters the non-conformance as a Hazard or Near miss in the WHS portal in WesternNow. Sources of non-conformances may be:

- Working in an unsafe manner
- Not wear appropriate safety equipment.
- Series of reportable near misses and or injuries and incidents
- Failure to meet basic Codes of Practice requirements
- Not wearing the visitors badge or PPE; and



- Non-conformances generated inappropriate behaviour in the workplace.

Quality of build or service

(96) Where a contractor fails to meet/comply with the tender/contract specifications and or the quality of works and or service is sub-standard, the contractor is to be issued with a Non-Conformance Report by the WSU Project Manager for supervising the contractor.

(97) Non-compliance Actions - If the contractor fails to comply with the Universities WHS requirements, the contractor is to be issued with a Non-Conformance Report by the person who is responsible for supervising the contractor. Sources of non-conformances may be:

- Build or service to not up to contract specifications/standards
- inferior quality of workmanship
- Any works not approved by the appointed certifier

SWMS Document Review

(98) SWMS should be reviewed when there are changes to legislative requirements, standards and guidance notes, methods, processes, equipment, and tools used. SWMS for all contractors should be reviewed at least once in a 12-month period to ensure the validity and efficacy by the Contractor and/or where the Designated Employee is unsure of the efficacy of the document. Where applicable refer to the WHS&W Unit for assistance or comment.

WHS, consultation, communication, training, and reporting

Consultation

(99) The NSW WHS³ Act requires WSU to consult with workers inclusive of contractors regarding matters likely to affect the physical and psychological health, safety, or welfare of people in WSU and related workplaces. WSU fulfils this requirement using the NSW Work Cover Code of Practice "Work Health and Safety Consultation, Co-operation and Co-ordination" as guidance, through:

Direct engagement with the University WHS Unit for University wide WHS policies and procedures.

Engagement with University wide WHS Committees and HSRs'

(100) Use of established WSU governance and business unit meetings as forums for improving WHS performance and behavior.

Communication

(101) WSU has established a series of governance and communication procedures, which ensure that pertinent WHS information is communicated to and from employees and other interested parties.

(102) These procedures include:

- Project Governance oversight and Senior Management reporting, which incorporate WHS as a standing agenda item.
- Internal communication among the various WSU levels and functions as part of standard business management and reporting processes

³ WHS Act 2011 Part 5 - Consultation, representation, and participation



- Yearly updates to all contractors associated with facilities maintenance and operations which incorporates the WHS as a key agenda item.
- Updates to all WSU staff through established communication means (e.g., electronic updates, emails, briefings for business units).

Training and competency

(103) WSU Management in consultation with all stakeholders must assess the training needs of both WSU and contractors for the development and implementation of WHS modules for inclusion in the annual WSU Training Plan.

(104) The WSU Training Plan incorporates broader University requirements for WHS and ensures that WHS related competencies are developed and maintained. WHS modules incorporated in the WSU Training Plan include:

- NSW WorkCover General Construction Induction (and National WHS General Construction Induction Training);
- Additional modules associated with WSU WHS training

(105) It is a mandatory WSU requirement that all personnel (including contractors and visitors) be inducted and undertake training appropriate to the identified needs. For site access, general contractors must undertake the WSU Contractor Induction, accessible at:

<https://contractorinduction.westernsydney.edu.au/course/>

Reporting

(106) Reporting is crucial, providing important feedback to WSU to monitor the effectiveness of the WHS System and adjust the management plan, as needed. WSU WHS reporting includes:

- Direct reporting by site managers to Work Cover of any notifiable accidents or incidents
- Reporting to the WSU WHS Office through Western Now of all WHS incidents or near-misses
- Reporting to the Senior Managers and the WSU WHS Director any incidents with subsequent investigations by relevant WSU staff (consistent with University and WSU Incident Investigation)
- WHS issues is a standing agenda item on the WSU Governance Committee and all Project steering Committees associated with WSU capital projects.
- Reporting on incidents, incident investigations, and corrective actions part of monthly Senior Management Reports and yearly WSU business planning and review.

Measurement and evaluation

(107) WSU has established and implemented documented procedures to regularly monitor and measure the key characteristics of its operations and activities that can cause illness and injury or have a significant environmental impact. The effectiveness of these measures is evaluated and reported in the annual management review by OEC.

(108) Appropriate equipment for monitoring and measurement related to environment, health and safety risks are identified, calibrated, maintained, and stored, as necessary. Records of this process are maintained according to WSU Records Management procedures outlined below.



(109) Being part of the WSU WHSS (Work Health and Safety System), these procedures monitor:

- Compliance with relevant WHS legislation and standards.
- Incident investigation, corrective and preventive action

(110) To measure performance, effectiveness of relevant operational controls and conformance with OEC's WHS objectives and targets

- WSU undertakes all risk management action in accordance with the NSW WorkSafe NSW Code of Practice "How to Manage Work Health and Safety Risks." This Code of Practice details the procedures for:
 - investigating, responding to, and taking action to minimize any harm caused from, incidents
 - investigating and responding to system failures
 - initiating and completing appropriate corrective and preventive action.

(111) Any accidents or injuries requiring investigation shall be analysed to determine the root cause of the incident. This will include a risk assessment to verify the need for amendment to current control measures (e.g., physical alterations, training, or changes to work instructions) to prevent similar occurrences.

(112) The investigation and risk assessment shall be carried out by the relevant Manager. A report detailing the findings, recommendations, and corrective actions (if appropriate) is to be submitted to 'Director WHS or delegate', with reporting to WSU Senior Management and the University WHS Unit.

(113) Any changes in the Work, Health, and Safety System (WHSS) procedures resulting from incident investigations and corrective and preventive action will be implemented and recorded in established reporting strategies and considered in yearly reviews.

Records and records management

(113) WSU follows the WSU procedures for identifying, maintaining, and dispositioning all records, including WHS records, and the results of audits and reviews. Records are maintained according to the University Records and Archive Management Policy and Procedures.

Keeping of Records (WSU)

(114) The University Records Management Policy and associated procedure provides the framework for documentation control across WSU. The WSU Records and Archives Management Service (RAMS) oversees the application of the TRIM system to electronic and hard copy document management.

(115) All WSU Capital Projects, Facilities management and maintenance contracts utilise TRIM for documentation of all materials including those relating to WHS for each contract or area of operational responsibility.

(116) Documentation maintained in appropriate TRIM files includes:

- Copy if a signed contract,
- Copies of Certificates of currency (over period of contract)
- Contract information
- Safety Management Plans assessed as a part of tender assessment processes
- Site specific Safe Work Method Statements for all work sites
- Safe Work Method Statements for general maintenance and operational procedures



- Job Safety Analyses or equivalent for conditions outside general maintenance conditions
- Safe Work Method Statements for ad hoc or reactive works
- Records of all work site planning meetings, toolbox talks, and incident investigations.
- WHS audits undertaken as part of the established procedures for different project scales.
- Maintain the project risk register
- Filing/location of documents etc.

Keeping of Records (Contractor)

(117) Each contractor must retain the following records

- Original signed contract,
- Contract information
- Insurance certificates of Currency
- Safety Management Plans assessed as a part of tender assessment processes
- Site specific Safe Work Method Statements for all work sites
- Safe Work Method Statements for general maintenance and operational procedures
- Job Safety Analyses or equivalent for conditions outside general maintenance conditions
- Safe Work Method Statements for ad hoc or reactive works
- Records of all work site planning meetings, toolbox talks, and incident investigations.
- Incident and Injury register for the project.
- Project Risk Register

Privacy Provisions as applied to Contractor information

(118) Any document that has the Contractor and their staff or subcontractor personal identifying information, inclusive of next of kin details, medical conditions or injury is subject to the Privacy Act⁴ apart from those principals that are directors of a company or business (but limited to details published by ASIC), and or where a Regulator, Government agency, or Organisation is entitled to receive such information via a legal instrument.

Where documents are to be released to a third a party consideration should be given to whether a legal instrument is in play or if personal identifying information needs to be redacted. Release of any personal information should in the first instance be referred to the Privacy Officer.

Key Performance indicators

⁴ Privacy Act 1988 – APPs'



Process Owners

(119) Each process owner should meet the following criteria in the preparation and execution of each contract from the date of the implementation of this plan, and should ensure that each tenderer has provided and attached to the tender response, that forms part of the contract, the following information, and documents, including but not limited to:

- LTI (Lost Time Injury), LTFR (Lost Time Frequency Rate), SIFR (Serious Injury Frequency Rate data for three (3) years
- Reportable incidents to WorkSafe (last 3 years)
- The number of each injury type
- Injury and incident trending over three (3) years
- The copy of the last system audit noncompliance report under either AS/NZS 4801 and or ISO 45001 (this applies to companies that have a certified OHSMS)
- A copy of the WHS Policy statement
- A copy of the RTW Policy statement
- A copy of a current Certificate of Currency for Workers Compensation
- A copy of a current Certificate of Currency for Public Liability (20M/40 M)
- A copy of a current Certificate of Currency for professional Indemnity Policy (20M/40 M) - (This applies on to companies where they provide consulting services and or implement new systems)
- Copies of Safe Work Method Statements
- Any copies of the above documents that have expired during the term of the contract.

(120) Where a successful contractor is on site for a period of one month or greater the contractor must undertake the following during the period of execution of the contract:

- Report every notifiable injury, hazard, or incident to WSU immediately.
- Confirm all required documentation and training of new installations, including safety processes have been undertaken with all relevant stakeholders.
- Allow the Designated Employee as defined in the contract, access to the injury and incident register and permit a copy to be forwarded to the WSU WHSW team for review and comparison, or, where agreed in the contract to forward the same on a monthly/weekly basis.
- Engage in WHS meetings with the WHU representative at a frequency as determined by the contract.

Evaluation and Retention of Contractors

(121) A review of contractors will be conducted periodically.

(122) The intent is to assess the contractor safety performance to determine whether they will remain on or be removed as a preferred WSU contractor.

(123) The review will include data collected as part of WSU monitoring activities, this may include, but not be limited to:

- Public Liability
- Professional Indemnity (where applicable)
- Workers Compensation Insurance



- Special Risk (where applicable)
- Safety audits and the close out of any non-conformances.
- Formal review meetings. Safety performance meetings.
- Incidents and management.
- Incident and Injury Registers
- Performance reporting.
- Current and fit for purpose SWMS
- Current permits and licence

Audit and Inspection

(124) The application of this procedure shall be audited in accordance with the Quality and WHSS compliance processes and audit as outlined in the WSU Audit and Inspection Plan.



Section 2 - Minor works, supply, and services

Plan Deployment and compliance

(125) The WSU units that are responsible for the deployment of Section 2 – supply and services and minor works under its control should ensure they are aware of their responsibilities under this plan and review this section periodically in relation to any changes made in legislation, regulation, industry standards and guidance notes and/or directed requirements from WSU Quality Management systems and structures. These Units include but are not limited to:

- Teaching and Research Technical Services
- Campus Safety and Security
- Information Technology and Digital Services

General WHS Duties, Obligations and Responsibilities

Contractors

(126) As with all WSU contractors, during the procurement process key information and documents must be collected. These include, but are not limited to, work health and safety, permits and/or licences, in force insurances, Safe Work Method Statement (SWMS) information, and in some instances, where assessed as appropriate, financial reports. WSU must collate physical evidence of currency and attach the documents to the contractor file/or in a contractor management system.

(127) The promotion and maintenance of WHS is the responsibility of each contractor and individually their employees, inclusive of their own health and safety. Further, the contractor is responsible to ensure the currency of all insurances, SWMS, permits and licences and where applicable carry an in-force and valid General Construction Induction Training card.

(128) When contractors are on site, they must comply with the following general safety requirements:

- At no times are emergency exits or emergency equipment to be block or isolated from being used or accessed, such as fire extinguishers and hose reels.
- Always observe no smoking and fire precautions.
- No hot work is to be conducted without prior approval of the Project Manager/Designated Employee for the issue of a Hot Work Permit by Campus Safety and Security for maintenance works.
- Where any lifting is to be done, ensure that good manual handling principles are applied.
- Wear appropriate protective clothing and equipment in designated areas or as required to guard against identified safety hazards.
- Exercise maximum care and good judgement in preventing accidents.
- Relevant commonwealth and state legislation.
- Observe any safety instructions or procedures specific to a site. This applies to all employees, full time, temporary, in particular, employees working outside normal working hours or working



alone are to observe the posted limitations to the work that they are allowed to perform at that time.

- Report any safety hazard including those that cannot be rectified immediately to the relevant Supervisor, Manager or WHS Representative at the site.
- Cease working in unsafe conditions or using unsafe equipment or practices and report immediately.
- Every precaution and safety rule are followed by employees to protect themselves and other employees, contractors, and visitors from injury throughout the operation to consider a job has been effectively completed.
- Contractors are to report to the attention of their supervisor and WSU any health, safety or welfare concerns they may have so that they can be promptly addressed.

Responsibilities

(129) The promotion and maintenance of WHS is the responsibility of management and staff who are managing contractors on site.

(130) Where contractors are engaged for periods that exceed the anniversary dates of any of their compliance certification, WSU must ensure that all key evidenced information and or documents is reviewed and replaced by current documentation.

Contractor Registration and Induction

(131) All contractors must register using the [WSU Contractor Portal](#), prior to commencing work for WSU, unless not required based on the contractor category.

(132) The University Authorised Delegate is responsible for the invitation to the contractor to register.

Induction

(132) All contractors must be either inducted prior to commencing work for WSU or be supervised by a Project Manager or Designated Employee while on WSU sites. Inductions must be refreshed every two years to remain current.

(133) To work unsupervised, the contractor must, as a minimum requirement, successfully complete each of the following:

- The relevant online WSU work health and safety induction via WSU.
- General Construction Induction Training (White Card), if the person is engaged to carry out construction work.

(134) Where a principal contractor is engaged, and in order to maintain the control of the workplace, the principal contractor must:

- Incorporate the approved WSU contractor induction into the safety management plan and induction for that site; and
- Provide a health and safety induction to all workers, including subcontractors and their workers who are engaged on that workplace.



Site / Area Specific Induction

(135) When contractors are required to perform work in a restricted access area of WSU, e.g., laboratories, including vacated labs, plant rooms, server room. The University Authorised Delegate is to ensure the restricted area contact has been notified of the work and the contractor has undergone the specific induction for that area prior to commencement of work.

(136) A site / area specific induction should include the following as a minimum:

- The emergency escape routes.
- The location of the appropriate Emergency Evacuation Assembly Point.
- Any area specific hazards (e.g., there may be other contractors working in the area, service disruptions, increased pedestrian traffic at certain times coinciding with work they are undertaking, chemicals, radiation, asbestos); and
- Details on accessing buildings and restricted access areas.

(137) The Delegated Employee and/or Security, by arrangement, should make regular check in with contractors and record each contact.

Risk Management and Assessment

(138) Prior to the commencement of works, the University Authorised Delegate, or a WSU HSR (Health and Safety Representative), in concert with, or separately, to the contractor, must complete a risk assessment that includes but not limited to an analysis of the security risks, proximity to other facilities (location) and people, contract specific risk of an injury or incident. Part of the modelling should include whether or not safety exclusions zones need to be established.

(139) Where it is deemed that a risk assessment is required, the Designated Employee should use the Risk Assessment Form for this task. This form has guidance notes as to the definitions of common risks associated with construction work including high-risk processes.

Minor Construction works

(140) Minor construction works contractors are typically drawn from authorised providers that have been subject to the procurement process and are compliant with all the requirements set by WSU for the contract. There are typically no further actions required, except to complete a risk assessment of the works and location. This risk assessment will determine the extent of control exerted by WSU, dependant on the assessed risk to people, property, environment, and the security of the location, and to amend any induction requirements.

(141) Where a Principal Contractor is assigned for a project under the value of \$250,000 and is working in a confined designated location, WSU must ensure that the Principal Contractor is able to assume control of the workplace when authorising a contractor, under their authority, to have management and control. However, the contractor does not inherit the additional duties of a Principal Contractor under part 6.4 of the WHS Regulation. Permits to Work

(142) The University Authorised Delegate must ensure that, where required, the applicable permits to work are completed by the contractor and authorised by the appropriate WSU permit issuer prior to commencement of work for any high-risk works – e.g., Hot works, confined spaces, isolation, service and floor penetrations, excavations, scaffolding, and electricity.



Implementation of Contractors Safety Documentation

(143) Implementation of the contractor's safety documentation is the responsibility of the contractor. It is also the responsibility of the contractor to ensure that their safety documentation is readily available for inspection and that all workers and sub-contractors are signed-on to acknowledge they have been trained and communicated to about all WHS requirements.

(144) Contractors may be subject to University Authorised Delegate / WSU WHS unit inspection at any time.

Contractor Consultation and Communication

Works Pre-start Meeting

(145) Where required, the University Authorised Delegate may need to conduct a pre-start meeting. The purpose of this meeting is to consult with and inform all parties of WHS requirements for the work. It is recommended that a documented record is maintained of this meeting e.g., diary notes, meeting minutes.

(146) As a minimum, a pre-start meeting should include confirmation of:

- works to be conducted.
- Job specific risk controls / methods.
- Potential service interruptions.
- Site specific hazards / risks.
- Permit requirements and status.
- Reporting requirements.
- Critical hold / control points (Stop/Start).
- Public staff and student safety; and
- Communication / consultation requirements specific to location / work. (e.g., Toolbox)

(147) NOTE: a pre-start meeting may be combined with a site/area specific induction.

Project Management Meetings

(148) Where the University Authorised Delegate deems it necessary, regular communication and consultation throughout the project and at an agreed frequency with the Contractor should occur. The purpose of these meetings is to consult with and inform all parties on the progress of the project including issues, constraints, delays, and technical and engineering issues impacting on the project. A key part to this meeting is that it should include a report on WHS performance during the interval periods. It is recommended that a documented record is maintained of this meeting e.g., diary notes, meeting minutes.

(149) As a minimum, ongoing project meetings should include:

- works being conducted.
- job specific risk controls / methods.
- Service interruptions
- Site specific hazards / risks.
- Permit requirements and status.



- Reporting requirements.
- Critical hold / control points (constraints) in respect to the physical project and WHS incidents
- Public staff and student safety; and
- Communication / consultation requirements specific to location / work. (e.g., Toolbox)

Project Commissioning Meeting

(150) The University Authorised Delegate engaging the contractor will at the completion of the works:

- Conduct an inspection of the area where the work was carried out to confirm it has been left free of hazards. If there are geographical restrictions, this inspection may be performed by another WSU employee.
- Provide information to the WHS unit if required for updating of relevant WHS risk registers etc.
- Make sure all isolations are removed and permits are signed off and closed out; and
- Request that an “Occupation Certificate” is issued to WSU.

Registers and or Records

(151) All service contractors are loaded into the Division of Infrastructure and Commercial Tririga system (CMMS) to manage workflow for Division of Infrastructure and Commercial service providers only. Other contractors not managed in Tririga, are registered, and managed out of Oracle by Finance.

Security - Minor Works, Maintenance and Service providers

(152) **Access to Sites-** Access to buildings will only be provided to authorised persons, either pre-approved by the School or area manager, OEC or ITDS, or escorted by an appropriate staff member. Restricted areas will only be accessed with the express permission of the restricted area manager.

(153) **Contractors Sign In / Sign Out -** All contractors must report to Campus Safety & Security (CSS) upon arrival on campus and sign in, providing their name, company, and contact mobile phone number. Contractors must provide evidence of a completed contractor induction and provide the details of what work they are conducting, the location they require access to, and the person from WSU who requested or approved the works. If any area they are required to work in is designated as ‘Restricted,’ the WSU staff member responsible for that area must provide access approval prior to the contractor attending the area.

(154) Contractors must inform CSS if they intend to carry out any Hot Works or require any fire alarm isolations. It is the responsibility of a contractor to inform CSS when fire alarm isolations are no longer required, or if such isolations need to remain in place for an extended period. No contractor is to vacate the campus without first providing such information to CSS.

(155) Building keys and access cards may be provided to contractors by CSS where required for daily use and will be signed out and back in by the contractor under the supervision of CSS. It is the responsibility of a contractor to ensure any keys or access cards issued are held safely and returned and signed back into CSS prior to them vacating the campus.



(156) All contractors must return to CSS to sign out before vacating the campus daily.

(157) Unless otherwise specified, a manual daily sign in/out register which may be submitted by the contractor as part of the auditable process to the WHS representative occurs through CSS.

(158) Sign in and out would also be required as part of the contractor's responsibility to hold daily toolbox talks (or inductions).

(159) ***Escort requirements*** - Contractors may need a WSU staff escort to specific areas as a requirement of OEC, ITDS or the School. Outside of these specific area requirements, inducted contractors do not require an escort.



Section 3 – Major Works – Projects >\$250,000 (Complex maintenance, fit outs, and construction)

Plan Deployment and Compliance (OEC) Division of Infrastructure and Commercial

(160) The Plan Deployment and Compliance, Division of Infrastructure and Commercial (OEC) is responsible for the deployment of this management plan and its review where changes in legislation, regulation, industry standards and guidance notes occur or where directed through requirements from WSU Quality management systems and structures.

Engaging Contractors for Major works

(161) Prior to engaging the services of contractors and subcontractors for a major project, it is key to clearly define

1. the scope of works,
2. Conditions of tendering
3. contract specification,
4. roles and responsibilities of the Designated Employee and Authorized Delegate
5. roles and responsibilities of the contactors
6. Design specification
7. Materials
8. Fabrication
9. Plant and equipment installation and commissioning
10. Work processes
11. Disposal of materials
12. Design of workplaces
13. Plant and equipment inspection, maintenance, testing and repair or replacement of plant or equipment
14. Any drawings

(162) The information and tender materials should be compiled into the 'Request for Tender Form' (Doc ID 670095073).

Contracts / Subcontracts



(163) WSU contracts, such as those modelled on AS 4905-2002, require the Principal Contractor to ensure that all contract staff, separate contractors, subcontractors, and all other parties providing labour, equipment or services comply with the WHS Act and Regulations.

(164) Requirements include:

- Where a major contract is \$1 million or more, the NSW Government WHS Management System guidelines for contracts must be applied
- Risk assessment of the site and foreseeable hazards, with control measures implemented and monitoring and review of control measures undertaken regularly undertaken
- WHS awareness and training including the WSU Contractor Induction (On-site Operational Protocols)
- Submission of a Work Health and Safety Management Plan to manage compliance, to assess subcontractors' capabilities, manage WHS information dissemination, conduct safety training, provide first aid, manage accident and emergency procedures, and maintain a Hazmat register
- Ensure incident management procedures are established, and site safety rules are clearly communicated
- Prepare Safe Work Method Statements, including the scope of works, supervision and inspection of work areas and methods, appropriate codes of practice, training and health and safety instructions
- Notification of WorkSafe NSW and WSU Superintendent (Delegated Employee) of any serious incident or dangerous occurrence, and reporting to WSU as requested.
- Provision of WHS records including those for subcontractors and suppliers for audit as required.

Planning and Scoping for Risk

(165) It is essential that all contracted works are adequately scoped and planned to ensure all potential risk factors are considered.

(166) In the Planning phase, a risk assessment is carried out to identify the hazards associated with the work, based on activities to be conducted, location of the work and complexity of work organisation. A University Authorised Delegate shall identify risk controls for the components of the work that the University has control over for inclusion in the scope / specification.

(167) The [Contractor Risk Management Quick Reference Tool can](#) be used to assist with planning the risk assessment.

(168) The more complex and hazardous the works to be performed, the greater the need for a detailed plan.

(169) Items that may need to be considered during the planning phase are:

- Is it a 'construction project' (value over \$250,000)?
- Identification of hazards and risks associated with the work.
- Legislative obligations to be met (including Codes of Practice).
- Responsibilities of the Contractor PCBU (Person Conducting a Business or Undertaking) involved.
- Contractor monitoring requirements.
- Consultation arrangements.



- Access to the asbestos register / asbestos management plan.
- Access to the dust diseases register and management plan (asbestos, wood, silica) management plan.
- Work methods, people, and equipment to be used.
- Safety documentation required, for example.
- Construction WHS management plans.
- SDS chemicals, equipment manuals.
- Safe work method statements for high-risk construction – specific to work.
- Job specific risk assessments.
- A construction/demolition plan.
- Permits to Work
- Copies of licences/certifications.
- Insurance documents.
- Specialist design or technical data.
- Safety in design reviews.
- Monitoring certificates (e.g., asbestos / mould).
- Adherence with Australian / relevant standards: and,
- Calibration of instruments.

(170) WSU may choose to coordinate a series of contractors in a project. In this case, a plan must be developed to coordinate the works.

Principal Contractor

(171) The WHS Safety Regulation⁵ states that a construction project can have only one principal contractor at any specific time.

(172) If a Principal Contractor is nominated for a Construction Project, the Principal Contractor is responsible for coordinating and managing all contractors on that site

(173) For Construction Projects, the tender specification and contract must clearly nominate the Principal Contractor. If the contractor cannot effectively control the work area, then WSU cannot relinquish control for example; construction areas that are not barricaded from staff, student, and members of the public.

(174) When engaging a Principal Contractor, the University Authorised Delegate is required to:

- Check the Principal Contractor has the necessary competency and skill set to undertake the work safely for example providing evidence of licences, permits, qualifications, level of experience, etc.
- Verify the Principal Contractor has their own systems in place for carrying out the work safely (for Construction Projects, this must be made available to be audited by interested areas of the business including WHS&W Unit).

⁵ Work Health and Safety Regulation (NSW) 2017 Clause 293 (4) (due to be repealed under the subordinate Legislation Act on 1 September 2023).



- Verify the Principal Contractor is carrying out the work safely as per their own stated procedures.
- Verify that the work being performed will be controlled in such a way to protect the Health Safety and Wellbeing of all Workers as well as little disruption to the immediate surroundings and environment have no negative impact on the immediate surroundings e.g., dust, noise, falling objects, etc, and,
- WSU will communicate and consult as well as provide the Principal Contractor with any hazard / risk information that WSU is aware of, e.g., asbestos registers, chemical contamination, underground services, etc.

Contractor Registration and Induction

(175) All contractors must register using the [WSU Contractor Portal](#), prior to commencing work for WSU, unless not required based on the contractor category.

(176) The University Designated Employee is responsible for informing the contractor to register

Induction

(176) All contractors must be either inducted prior to commencing work for WSU or be supervised by the University Authorised Delegate while on WSU sites. Refer to Appendix 1 for induction requirements based on work category. Inductions must be refreshed every two years to remain current.

(177) To work unsupervised, the contractor must, as a minimum requirement, successfully complete each of the following:

- The relevant online WSU work health and safety induction via WSU
- General Construction Induction Training (White Card), if the person is engaged to carry out construction work.
- Where a principal contractor is engaged, and in order to maintain the control of the workplace, the principal contractor must:
- Incorporate the approved WSU contractor induction into the safety management plan and induction for that site; and
- Provide a health and safety induction to all workers, including subcontractors and their workers engaged at that workplace.

Site / Area Specific Induction

(178) When contractors are required to perform work in a restricted access area of WSU, e.g., laboratories, including vacated labs, plant rooms, server room. The University Authorised Delegate is to ensure the restricted area contact has been notified of the work and the contractor has undergone the specific induction for that area prior to commencement of work.

- A site / area specific induction should include the following as a minimum:
- The emergency escape routes.
- The location of the appropriate Emergency Evacuation Assembly Point.
- Any area specific hazards (e.g., there may be other contractors working in the area, service disruptions, increased pedestrian traffic at certain times coinciding with work they are undertaking, chemicals, radiation, asbestos); and
- Details on accessing buildings and restricted access areas.



Risk assessment

(179) A risk assessment is the consideration of what could happen if someone is exposed to a hazard, and the likelihood of it happening. A risk assessment can assist in determining how severe a risk is; whether any existing control measures are effective; what action should be taken to control the risk; and how urgently the actions need to be taken. All risks must be assessed and have control priorities assigned, based on the established level of risk. The University Authorised Delegate undertaking any risk assessment will need to assess each project large or small and understand the risks and how they will evolve throughout the project.

(180) For Major works a risk assessment is required. The Authorised Employee should use the Risk Assessment Form to complete this task. This form has guidance notes as to the definitions of common risks associated with construction work including high-risk processes.

High-risk construction work includes but not limited to:

- work that involves a risk of a person falling more than two metres
- work on a telecommunication tower
- demolition of an element of a structure that is load bearing or otherwise related to the physical integrity of the structure
- work that involves, or is likely to involve, the disturbance of asbestos
- structural alterations or repairs that require temporary support to prevent collapse
- work in or near a confined space
- work in or near a shaft or trench with an excavated depth greater than 1.5 metres
- work in or near a tunnel
- use of explosives
- work on or near pressurised gas distribution mains or piping
- work on or near chemical, fuel, or refrigerant lines
- work on or near energised electrical installations or services
- work in an area that may have a contaminated or flammable atmosphere
- work involving tilt-up or precast concrete
- work on, in or adjacent to a road, railway, shipping lane or other traffic corridor that is in use by traffic other than pedestrians
- work in areas in which there is movement of powered mobile plant
- work in areas in which there are artificial extremes of temperature
- work in or near water or other liquid that involves a risk of drowning
- work that involves diving work.

Permits to Work

(181) The University Authorised Delegate must ensure that, where required, the applicable permits to work are completed by the contractor for the works and high-risk works. The appropriate University Authorised Delegate should sight the permits/licences and obtain a list from the contractor of all permits including the permit registered number, issuing organisation and the name of the worker prior to commencement of work.



Construction Certificate

(182) Prior to the commencement of works on site, where the works have required a Development Application (DA) the University Authorised Delegate should ensure the Contractor has applied for a Construction Certificate with the Council or with the nominated Certifier, that the certificate is issued and can be evidenced.

(183) Failure to have the Construction Certificate can result in heavy fines and or unauthorised works to be demolished.

Implementation of Contractors Safety Documentation

(184) Implementation of the contractor's Safety Management Plan is the responsibility of the contractor. It is also the responsibility of the contractor to ensure that their safety documentation is readily available for inspection.

(185) All workers and sub-contractors of the contractor must be inducted and signed-off to acknowledge they have been trained and communicated to about all WHS requirements.

(186) The contractors WHS Management Plan and related documentation may be subject to Designated Employee / WSU WHS unit inspection at any time.

Contractor Consultation and Communication

Works Pre-start Meeting

(187) Where required, the University Authorised Delegate may need to conduct a pre-start meeting. The purpose of this meeting is to consult with and inform all parties of WHS requirements for the work. It is recommended that a documented record is maintained of this meeting e.g., diary notes, meeting minutes.

(188) As a minimum, a pre-start meeting should include confirmation of:

- Overview of works to be conducted and timelines.
- job specific risk controls / methods.
- Service interruptions.
- Site specific hazards / risks.
- Permit requirements and status.
- Reporting requirements.
- Critical hold / control points.
- Public staff and student safety; and
- Communication / consultation requirements specific to location / work. (e.g., Toolbox)

(189) NOTE: a pre-start meeting may be combined with a site/area specific induction.

Project Management Meetings

(190) The University Authorised Delegate should ensure regular communication and consultation to ensure all stakeholders have regular meetings at an agreed frequency with the Contractor. The purpose of these meetings is to consult with and inform all parties the progress of the project including issues,



constraints, delays, and technical and engineering issues impacting on the project. A key part to this meeting is that it should include a report on WHS performance during the interval periods.

(191) It is recommended that a documented record is maintained of this meeting e.g., diary notes, meeting minutes.

(192) As a minimum, ongoing project meetings should include:

- works being conducted.
- job specific risk controls / methods.
- Service interruptions
- Site specific hazards / risks.
- Permit requirements and status.
- Reporting requirements.
- Critical hold / control points (constraints) in respect to the physical project and WHS incidents
- Public staff and student safety; and
- Communication / consultation requirements specific to location / work. (e.g., Toolbox)

Project Commissioning Meeting

(193) The University Authorised Delegate engaging the contractor will at the completion of the works:

- Conduct an inspection and critical analysis project brief, variations with built as plans.
- Conduct an inspection of the area where the work was carried out to confirm it has been left free of hazards. If there are geographical restrictions, this inspection may be performed by another WSU employee.
- Provide information to the WHS unit if required for updating of relevant WHS risk registers etc.
- Make sure all isolations are removed and permits are signed off and closed out; and,
- Request the issue of an “Occupation Certificate” and provide a copy to WSU.

Training

Training and competency

(194) WSU Management in consultation with staff continue to assess WSU training needs through the development and implementation of WHS modules within the yearly WSU Training Plan.

(195) The WSU Training Plan incorporates broader University requirements for WHS and ensures that WHS related competencies are developed and maintained. WHS modules incorporated in the WSU Training Plan include:

- NSW Work Cover General Construction Induction (and National WHS General Construction Induction Training);
- Additional modules associated with WSU WHS training.

(196) It is a mandatory WSU requirement that all personnel (including contractors and visitors) be inducted and undertake training appropriate to the identified needs. For site access, general contractors must undertake the WSU Contractor Induction, accessible at:

<https://contractorinduction.westernsydney.edu.au/course/>



(197) Designated Employees who are responsible for overseeing contracts that involve construction work activities, must successfully complete the general construction induction training.

Monitoring of Contractors

(198) WSU requires that contractors have the skills to identify a hazard in a system of work and hazards in work practices. This is assessed by the Project Manager during site inspections.

(199) The Project Manager is required to monitor the work of the contractor while they are undertaking contracted work for the University, through observation of activities and reviewing their safety documentation.

(200) Monitoring shall be conducted to ensure the contractors operations conforms with:

- ◆ WHS legislation including codes of practice and standards.
- ◆ Contract WHS requirements; and
- ◆ Contractor job specific risk management plans.
- ◆ The WHS unit will work alongside the Project Manager to monitor contract activities.

(201) The extent of activities monitored will vary depending on the nature and circumstances of each contract. Therefore, the frequency, degree, and mechanism for the monitoring of contract activities are to be determined at the planning phase by the Project Manager and should be documented in the specification. Monitoring activities generally include (but are not limited to):

- Scheduled inspections.
- Random inspections.
- Audits against contract documentation.
- Walkthrough and discussion with contractor; and / or
- Leadership walks by WSU senior management.

(202) The University Authorised Delegate and / or the WHS unit may provide the contractor with safety performance feedback, post monitoring activity, to assist in the ongoing consultative and cooperative relationship with contractors as a shared duty holder. (

(203) Any WSU employee, student or visitor that observes breaches or has a complaint regarding contracted work and / or conduct are to report the concern to the responsible Designated Employee and / or the WHS unit for action.

Security - Major Works

(204) **Access to Sites** - Access to building sites is restricted to building site inducted contractors and relevant approved OEC staff. Other persons requiring access need to be approved and inducted by the building site supervisor.

(205) **Contractors** - The building site supervisor must report to Campus Safety & Security (CSS) upon arrival on campus and sign in, providing their name, company, and contact mobile phone number. The



supervisor must provide evidence of a completed contractor induction. It is the responsibility of the supervisor to maintain a register of all contractors and other personnel attending the building site.

Contractors must inform CSS if they intend to carry out any Hot Works or require any fire alarm isolations. It is the responsibility of a contractor to inform CSS when fire alarm isolations are no longer required, or if such isolations need to remain in place for an extended period. No contractor is to vacate the campus without first providing such information to CSS. (Fire isolations are generally in place for the duration of most major works). Where builders' keys have not been installed within the building site, existing WSU building keys and access cards may be provided to contractors by CSS where required for daily use and will be signed out and back in by the contractor under the supervision of CSS. It is the responsibility of a contractor to ensure any keys or access cards issued are held safely and returned and signed back into CSS prior to them vacating the campus.

Supervisors must return to CSS to sign out before vacating the campus.

(206) **Sign In / Sign Out** - Current contractors sign in/out process is via a manual handwritten register as per the abovementioned requirements. This process may be digitised at a future date where additional requirements may prevail.

(207) **Escort Requirements** - Major works contractors may attend a building site unescorted unless specifically required by Division of Infrastructure and Commercial.

Related Documents and Forms

Polices

WHS policies and procedures for the University of Western Sydney are accessible at:

- ◆ [Health Safety and Wellbeing Policy](#)
- ◆ [Procurement Policy](#)
- ◆ [Delegation of Authorities Policy](#)

Procedures

- ◆ Security SOP 001 – Fire Panel Isolation Protocol
- ◆ Security SOP 002 – Contractor Entry to WSU Campuses (Security Protocol)
- ◆ Refer to Division of Infrastructure for full list

Guidance Notes

- AS 1674.1-1997 - Safety in welding and allied processes Fire precautions (Reconfirmed 2016)

Forms

- ◆ Contract Risk Management Audit Tool
- ◆ SWMS Form
- ◆ Contractor Management Risk Analysis
- ◆ Hot Work Permit



- ◆ New Contractor - Supplier Form OEC
 - ◆ New Contractor Supplier Checklist
 - ◆ CHECK SHEET – New Contractor or Supplier
- Refer to Division of Infrastructure for full list as most forms are 'owned' by OEC

Registers and Records

- ◆ Contractor Sign In/Sign Out Register

Related External Documents and Forms

Legislation and Regulation

- ◆ Western Sydney University Act 1997
- ◆ Western Sydney University By-Law 2017
- ◆ Work Health and Safety Act 2011 (the Act)
- ◆ Work Health and Safety Regulations 2017 (Regulations)
- ◆ Privacy and Personal Information Protection Act 1998 (NSW)
- ◆ Privacy Act (C'wlth) 1988

Standards

- ◆ ISO 41001:2018 Facilities Management
- ◆ ISO 45001:2018 Occupational Health and Safety
- ◆ ISO 31001:2018 Risk Management
- ◆ AS1885 Measurement of occupational health and safety performance
- ◆ AS1885.1 Part 1: Describing and reporting occupational injuries and disease (known as the National Standard for workplace injury and disease recording)
- ◆ AS/NZS3760:2010 In-service safety inspection and testing of electrical equipment
- ◆ AS 4905:2001 Minor works contracts conditions
- ◆ 10845-2:2020 Construction procurement part 2 – Formation and compilation of procurement documents
- ◆ 10845-1:2020 Construction procurement part 1 Processes methods and procedures

Codes of Practice

Regulations and Codes of Practice are accessible at the SafeWork Australia, NSW WorkSafe, or updates on the NSW government legislation web pages website:

- ◆ <http://www.safeworkaustralia.gov.au>
- ◆ <http://www.WorkSafeNSW.nsw.gov.au>
- ◆ [National Construction Code 2022](#)

WESTERN SYDNEY UNIVERSITY



- ◆ https://www.safeworkaustralia.gov.au/search?search=model%20codes%20of%20practice&f%5B0%5D=document_taxonomy_term_name_1%3AModel%20Codes%20of%20Practice

Document Meta Data

Document Title	Contractor Management Plan		
Author	Grant Edwards	Manager	E.Brackenreg@westernsydney.edu.au
Version		Document ID	
Document Owner	Division of Infrastructure and Commercial		
Security	Internal		
Stakeholders	Plan Performance and Compliance (OEC)		
	Teaching and Research Technical Services		
	Campus Safety and Security		
	Information Technology and Digital Services		
	Work, Health, Safety and Wellbeing		
Publish Date	30/03/2023	In-Force Date	30/04/2023
Creation Date	23/03/2023	Revision Date	30/04/2028



Annexure 1

Acronyms and Abbreviations Table

Acronym/Abbreviation	Explanation
AS/NZS	Australian and New Zealand Standard
WSU	Capital Works and Facilities
HR	Human Resources
HSR	Health and Safety Representative
IM	Injury Management
ISO	International Standards Organisation
LTI	Lost Time Injury
LTFR	Lost Time Frequency rate
NSW	New South Wales
PC	Principal Contractor
PPE	Personal Protective Equipment
QMS	Quality Management System
SOP	Standard Operating Procedures
SDS	Safety Data Sheet
SIFR	Serious Injury Frequency Rate
SWMS	Safe Work Method Statement
WHS	Work Health and Safety
WHSC	Work Health and Safety Committee
WHSS	WHS System

WESTERN SYDNEY
UNIVERSITY





Annexure 2

Definitions Table

Authorised Delegate	means a person who has the delegated authority to authorise expenditure for procurement of goods or services and sign off the transaction as specified in the Delegations of Authority Policy
Closed Tender	means a Tender where a limited number of Suppliers have been invited to respond.
Conflict of Interest	means a conflict between performing an official duty and another interest that has the potential to interfere with the proper performance of that official duty. The University's requirements regarding Conflict of Interest reported are set out in the Conflict-of-Interest Policy, guidelines, and the Code of Conduct.
Consultant	means an external person or organisation engaged with a specific skill set and knowledge not normally available at Western Sydney University to provide professional or expert advice in a specific field. They have greater subject matter expertise than would be feasible for the University to retain in-house and are typically engaged on short term basis
Contract	means an agreement between two or more parties (supplier and the University) that sets out what will be delivered at what cost and other obligations and requirements. This may be a Standard Form Contract, Standard Purchase Order Terms, or other form of university approved contract and includes relevant schedules, annexures or attachments for the services, fees, and any other relevant information agreed between the parties. The Contract also incorporates any related Variations.
Contract Management Framework	means the process for managing the lifecycle of contracts created and administered by the University.
Contract Owner	means a University Authorised Delegate who is responsible for the contractual relationship with the supplier. Usually, the contact staff from the relevant business unit initiating the procurement activity.
Contracted Suppliers	means a Supplier that has a current Contract in place with the University
Designated Employee	A person nominated by the Unit, Division or Faculty to manage a specific or specific contractors
Emergency	means situations that include but are not limited to: natural or man-made disasters (such as earthquakes, cyclones, tsunamis, volcanic eruptions, flooding, fires and biosecurity), critical health or environmental emergencies (such as pandemic or food safety incident) Political emergencies (such as war) and failures of critical infrastructure or equipment where: 1. necessary actions are required in the event of a fire alarm, life safety system alarm, gas leak alarm, flood alarm, power failure etc., or



	<p>2. an issue is identified that is required to be “made safe” in order to restore health and safety conditions, or</p> <p>3. an issue is identified that is required to be mitigated in order to prevent an “unsafe” condition, or</p> <p>4. there is a requirement to mitigate or prevent any likely or further damage to the University’s facilities or activities, or</p> <p>5. there is a risk that delayed action may result in actual damage to the University’s facilities or activities.</p> <p>Urgent situations arising through a lack of planning do not constitute an emergency.</p>
GIPA	means the Government Information (Public Access) Act 2009 (NSW) as amended from time to time.
Independent Contractor	by that person or organisation. An independent contractor undertakes to produce a given result, and the agreed payment is payable when the contractual conditions have been fulfilled. They are engaged as there is a need to augment existing resources (e.g., due to a short-term increase in projects), or to fulfil a shortfall in capacity where certain skills and knowledge are ordinarily present. Independent Contractors must be genuine (e.g., with a valid ABN/ACN, registered for GST etc (if Australian-based) and have adequate insurances in place)
ICAC	means Independent Commission Against Corruption
Mandatory Terms	means Payment Terms – the University does not pay in advance for the supply of goods and/or services (unless approved by the Vice-President, Finance and Chief Financial Officer), Deposits – the Financial Delegate may approve the issue of a deposit to the Supplier only after appropriate commercial terms have been agreed and approved, Other Terms as specified by Procurement Services or the Office of General Counsel
Modern Slavery	means modern slavery as defined in section 4 of the Modern Slavery Act 2018 (C’wth) and includes human trafficking, forced labour, child labour, debt bondage, situations where workers’ freedom is deprived, restricted, or undermined or where workers are otherwise exploited, and similar unethical conduct.
Open Tender	means a Tender where the University has publicly invited offers to respond. Preferred Supplier
Procurement	means all activities involved in the acquisition of goods, services, infrastructure, and capital works either purchased or leased, including but not limited to: 1. identifying the need to procure 2. electing external suppliers, whether or not via a tender evaluation process 3. contracting and placing orders 4. managing contracts and suppliers including the supply chain 5. Governance and compliance of contractual requirements, policies, regulations, and relevant laws
Procurement Plan	means the form required for some Procurement Activities as outlined in clause (23) of the Procurement Policy.
Probity Plan and Advisors	means the provision of advice and assistance before and during the course of the procurement process, as a basis for improving the procurement outcome and addressing unexpected probity issues that may arise

WESTERN SYDNEY UNIVERSITY



Purchase Order	means the document issued by the relevant University staff to a Supplier acknowledging that there is a commitment to engage a Supplier to perform a Scope of Work for the University and to obtain related payment
Procurement Review Committee	means a committee established to review and approve Procurement and Tender activity on behalf of the University according to their terms of reference.
Purchase and Service Requisition	means the request document raised to obtain approval to issue a Purchase Order to a Supplier.
Responsible and Social Procurement	means using the University's purchasing power to generate social benefits, adding value to procurement outcomes, and supporting supplier and workforce diversity.
Restricted Items	means Goods and/or Services where the University has determined that only certain business units may undertake Procurement activities where there is specific industry experience and knowledge required as approved by the Vice-President, Finance and Chief Financial Officer.
RFx	means Goods and/or Services where the University has determined that only certain business units may undertake Procurement activities where there is specific industry experience and knowledge required as approved by the Vice-President, Finance and Chief Financial Officer.
Scope of Work	means goods and/or services to be provided by the Supplier detailing how the work must be performed, the responsibilities between the parties, what materials and / or activities are required, minimum quality standards, minimum warranties, milestones or deadlines, and any requirements relating to delivery, installation, or acceptance at a minimum. Scope of Work should be documented and form part of a contract, usually as a Schedule. Also known as a Statement of Work or Scope of Services
Sole Supplier	means Procurement activity where direct negotiation with one Supplier is approved in accordance with this Policy, refer clause (29) Direct Negotiations (Sole Supplier).
Standard Contract Form	means a form of Contract that has first been approved by the Office of General Counsel for use with specific types of Procurement Activities or has been previously established by state or national government entities against which the University is entitled to procure.
Standard Purchase Order Terms	means the terms and conditions, as amended from time to time, that are approved by the Office of General Counsel for use on Purchase Orders.
Procurement Services	means the business unit responsible for this policy and related governance and processes that has oversight of all related Procurement activities.
Supplier	means an external person or organisation that supplies goods and/or services that the University may procure, in conducting its business.
Tender	means a Tender activity either as a Closed Tender or Open Tender in the form of a Request for Information (RFI), Request for Proposal (RFP) or a Request for Tender (RFT).
Tender Threshold	means a Total Cost of Ownership of \$250k (excluding GST) or greater.
Total Cost Ownership	means the total cost of acquisition of the goods and/or services including all supply, freight, installation, training and associated ongoing maintenance and/or service costs or other ongoing operational costs to support that purchase over the proposed purchase period and possible extensions.
Variation	means an amendment to a Contract agreed between the University and the Contracted Supplier.