



# **Contractor WHS Lifecycle Toolkit**

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## 1. INTRODUCTION

### Purpose

The purpose of this Contractor Work Health Safety Lifecycle Toolkit is to provide practical and relevant guidelines for University of New England (UNE) representatives to engage, manage and supervise contractors, administer a Contract or Scope of Work, ensure safe management practices and outcomes during the work being undertaken, and ensure contractors are compliant with Work Health and Safety (WHS) obligations.

This Toolkit incorporates a legislative and risk management approach for the utilisation of contractors so that potential risks to health and safety are identified, assessed and controlled. In addition, this Toolkit facilitates the development of an overall safety management system for long term, high risk works.

### Scope

<b>Scope</b>	<p>Management and supervision of contractors by UNE Representatives to:</p> <ul style="list-style-type: none"> <li>▪ Engage an independent contractor in a Contract for Service Agreement to carry out work on behalf of UNE.</li> <li>▪ Ensure safe management practice and outcomes for all stages of the contract lifecycle: planning, tender, award, mobilisation, delivery, demobilisation, and post-completion review.</li> <li>▪ Ensure the contractor is compliant with their Work, Health and Safety obligations at UNE.</li> </ul>
<b>Out of Scope</b>	This Toolkit does not apply to visitors and commercial tenants.

This Toolkit supports the WHS Contractor Management Policy and includes guidance material/tools to assist contract engagers/supervisors to meet their WHS obligations when engaging contractors.

**Note:** This Toolkit is not a template for Contract Management but provides tools to better manage and supervise WHS aspects of contractor engagement and management.

## 2. LEGISLATION

The legal aspects and requirements in this Toolkit are imposed by the NSW Work Health and Safety Act 2011 and the NSW Work Health and Safety Regulations 2025.

## 3. CONTRACTOR WHS LIFECYCLE PROCESS OVERVIEW

Stage	Key Activities
1. Planning the Works	Define scope, classify risk, determine contractor category.
2. Contract Specification	Determine and document WHS requirements in contract specification.
3. Contractor Evaluation & Selection	Assess capability, WHS systems and insurances. Finalise contract, documentation and mobilisation requirements.
4. Contractor Onboarding & Mobilisation	Contractor registration, UNE and site specific inductions. Submit WHS documentation, issue Permit/s to Work, site establishment and mobilization.
5. Managing the Work	Monitor works, inspections, audits and incident management.
6. Completion & Review	Demobilise, verify completion, evaluate performance and record outcomes.

### 4. PLANNING THE WORKS

It is important WHS risks are identified prior to the purchase of goods and/or services to ensure good procurement outcomes are achieved and unforeseen hazards and compliance issues can be avoided. This can be achieved by scoping all contract works and planning to ensure risks are considered and WHS requirements associated with the works are identified.

As part of the planning and scoping of the contract works, the contract engager/supervisor is required to identify any potential health and safety risks and the control measures required to prevent harm. The University WHS Risk Management Protocol outlines the risk assessment process, including:

- Identification of any hazards associated with the work activities and the location or context of the work to be performed.
- Consideration of the nature and/or complexity of the work being undertaken, including the competencies/licences required to perform the work safely, e.g. construction work, high risk work, psychosocial hazards and accessibility.
- Assessment of how serious the potential harm could be and how likely it is to occur.
- Identification of the most effective control measures that are reasonably practicable to apply in the circumstances.

The time spent scoping the work and undertaking a WHS risk assessment assist in determining the contractor WHS category, as outlined below, and ensuring appropriate planning occurs based on the level of risk.

#### Contractor Categorization Matrix

The contract engager is responsible for appropriately categorizing the proposed contractor using the Contractor Categorization Matrix prior to the commencement of the engagement.

The Contractor Categorization Matrix (Appendix 2) classifies contractors into five categories based on the work they provide, and the level of risk associated with the work they will undertake. The category determines the level of induction, identification, registration and risk management required as a result.

The five contractor categories are as follows (refer to Appendix 2 for more detail), the examples provided are not intended to be exhaustive:

1. **Low Risk Deliveries & Services** – mail, couriers, suppliers and light package deliveries not requiring motorized mechanical aids.
2. **Consultants and Contract Workers** – Labour hire personnel, consultant auditors, guest or contracted lecturers. This category also includes event entertainers, vendors, stall operators and project management
3. **Contracted Suppliers** – Long term contracts for provision of cleaning, security, waste collection, and security.
4. **Maintenance & Construction Work** – Building maintenance, repairs, various trade or technical works (can be minor or major works).
5. **Principal Contractor** – Construction and Principal Contractor appointed works, including new buildings, major grounds works, major modifications to infrastructure.

The following should also be considered to help determine the Categories of Contracted Work listed above:

- Is the work 'construction work'?
- Is it defined as a 'Construction Project' (value over \$250,000)?
- Know hazards and risk controls associated with the work to be undertaken.
- Legislative obligations that must be met (including relevant Codes of Practice).
- Responsibilities of the contract company involved.
- Work methods, the number and type of people, and the equipment involved.
- The level of monitoring required.

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- Consultation arrangements required.
- Access to the asbestos register/asbestos management plan as relevant.
- Safety documentation required, for example Construction WHS Management Plans or Project Plans.

The planning risk assessment needs to identify the hazards associated with the work, based on activities to be conducted, location of the work and complexity of work organisation. At this stage, the contract engager/supervisor shall identify risk controls for the components of the work that the University has control over for inclusion in the scope/specification.

### Planning Tools

Appendix 1: Guide to Selecting and Engaging Contractors supports this Contractor WHS Lifecycle Toolkit and provides a 5 step process to assist contract engagers/supervisors meet their WHS responsibilities when selecting, engaging and management of contractors.

Appendix 2: Contractor Categorization Matrix provides practical guidance to contract engager/supervisors on the risk management controls required based on the category of contracted work to be undertaken.

Appendix 3: Contractor Risk Management Planning Reference Tool provides contract engagers/supervisors with a tool to assist in the identification of the contracted works risks.

Appendix 4: Contractor Safety Evaluation Checklist provides contract engagers/supervisors with a checklist to assess the suitability of a contractor prior to engagement (for category 3, 4, and 5 contractors).

## 5. CONTRACT SPECIFICATION

The WHS legislation requires all PCBUs to work safely together. To ensure all PCBUs are aware of their role in managing risks while working for UNE, it is critical that WHS requirements are documented in the contract specification.

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 contract engager in consultation with representatives from the local area will ensure the scope of works includes an appropriate WHS context for all contract activities. The WHS context includes:

- the inherent hazards associated with the work to be undertaken;
- the inherent hazards associated with the work environment;
- the University's mandatory requirements, health and safety policies, procedures and practices required of the contractor, and;
- key WHS performance indicators for the contract.

### Principal Contractor – Construction Project (construction work valued over \$250,000)

For Construction Projects valued over \$250,000, the tender specification and contract must clearly nominate the Principal Contractor. UNE can be nominated as the Principal Contractor, however in most cases it will be another PCBU.

When nominating a contracted company as the Principal Contractor, the ability for the contractor to assume control of the workplace must be considered. If the contractor cannot effectively control the work area, then UNE cannot relinquish control.

An example of a construction project where control cannot be relinquished is construction work across a number of occupied buildings where the sites cannot be physically barricaded from UNE staff, students, or members of the public.

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When engaging a Principal Contractor, the UNE contract engager/supervisor is required to:

- Verify the Principal Contractor has the necessary expertise for the work (such as licences, qualifications, level of experience, etc.);
- Verify the Principal Contractor has their own systems in place for carrying out the work safely;
- Verify the Principal Contractor is carrying out the work safely as per their own stated procedures;
- Verify that the work being performed will have no negative impact on the immediate surroundings e.g. dust, noise, falling objects, etc.
- Provide the Principal Contractor with any hazard/risk information that UNE is aware of, e.g. asbestos registers, chemical contamination, underground services, etc.

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

**Principal Contractor – Construction Project** (construction work valued **under \$250,000**)

For construction work under the value of \$250,000, UNE can authorise a contractor to have management and control of a workplace. In this situation, the contractor does not inherit the additional duties of a Principal Contractor under the WHS Regulation. UNE can add additional WHS requirements in the contract similar to those duties imposed on a Principal Contractor (e.g. providing a WHS Management Plan and managing safe work method statements. UNE must ensure that the contractor is able to assume control of the workplace when authorising a contractor to have management and control.

## 6. CONTRACTOR EVALUATION AND SELECTION

### Procurement Process

UNE’s purchasing processes and responsibilities are outlined in the UNE Procurement Policy which include WHS requirements to be complied with to ensure any specific legislative requirements are met.

The contractor must provide the required safety documentation as part of the procurement process (e.g. tender submission, quotation). The safety documentation should be considered when determining the contractors suitability to perform the contracted work.

All safety documentation must be evaluated to ensure the potential contractor is able to meet legislative and UNE minimum standards by the contract supervisor.

The contract supervisor must ensure that a PCBU seeking to be a contractor for UNE provides the relevant documentation required by the Contractor Safety Evaluation Checklist (for Category 3, 4, 5 Contractors or as determined). Contractors are expected to be able to demonstrate and provide:

- A good understanding of hazards and risks relevant to the scope of works to be undertaken.
- Safe systems of work for the work being undertaken.
- Licences, certificates and relevant current and in date trade qualifications.
- Plant and equipment registrations/program of maintenance.
- Current and relevant insurances.
- Induction procedures for inducting their workers and any sub-contractors to the work site.
- Hazard/Incident reporting and investigation procedures.

Where a contractor is unable to meet the requirements of the Contractor Safety Evaluation Checklist, the contract supervisor, with support from other subject matter experts, may address and rectify the areas of deficiency. Work cannot commence until all deficient areas are addressed.

The contract supervisor must retain copies of all requested documentation as part of the evaluation process and the UNE Records Management Rule

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If advice is required when engaging a contractor, it is recommended that the contract engager/supervisor contacts the procurement team who will advise UNE requirements for such an engagement. All procurement and contract related documents are to be managed in accordance with the UNE Procurement Policy. (Standard form contracts and information for engaging contractors are available on the UNE Legal and Procurement website)

### Contract Award

On completion of the planning and procurement phase, the contract supervisor must ensure that a contract for service agreement is in place prior to the contractor commencing the work. Depending on the nature, duration and cost of works, UNE may use anything from a purchase/work order to a detailed construction contract to engage a contractor.

Estate and Built Environment (EBE) must be consulted prior to University Business Units /Directorates/Schools engaging a contractor to undertake any facilities related work, including works that will change the required operating conditions of the facilities e.g. installation of new equipment which impacts the heating, ventilation and/or cooling of an area.

A contract supervisor is appointed for each contract. The contract supervisor may directly supervise the contractor and the work group, or day-to-day supervision may be delegated to another UNE representative to manage, monitor and report on the contractor WHS compliance and performance.

The contract supervisor or delegate will provide the contractor with known UNE hazards within the area the contractor will work in and which the contractor may be exposed to.

Prior to commencement, additional hazard and risk assessments may be required to evaluate WHS and security hazards and risks arising from the contractor activities and operations.

Based on the contractor category, the following should be considered as part of the establishment of the contract terms:

- Agreement of which WHS system contractors will follow.
- Key performance indicators for contract and frequency of review.
- Contractor organisational chart and any relevant project governance documents.
- Assign a contractor administrator to mobilise workers.

## 7. CONTRACTOR ONBOARDING AND MOBILISATION

Contractors and suppliers of goods and services must comply with UNE on-boarding and mobilisation requirements prior to commencing any work activity, including:

- UNE and site specific Inductions;
- Psychosocial and accessibility requirements;
- Governance frameworks & RACI/Comms Plans;
- Permit to Work/other required UNE training, and;
- Contractor Identification Card requirements.

### Contractor Registration

All contractors must register using the UNE Digital WHS Management System prior to commencing work, unless not required based on the contractor category as defined in Appendix 2.

The contract engager/supervisor is responsible for the invitation to the contractor to register.

### Contractor Induction

It is essential that the University can confirm that anyone undertaking work on University premises understands UNE requirements and processes, including required permits to work and emergency processes.

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Contract supervisors are responsible for ensuring contractors and subcontractors (identified as requiring an induction from Appendix 2) have completed the relevant UNE Contractor WHS Induction and any relevant area specific inductions (such as laboratory or workshop inductions) prior to attending site and commencing work for the University.

Where a Principal Contractor is engaged, and to maintain control of the workplace, the Principal Contractor must:

- Incorporate the approved UNE Contractor Induction into the Safety Management Plan and induction for that workplace; and
- Provide a Principal Contractor WHS Induction to all workers, including subcontractors and their workers who are engaged in that workplace.

For service contracts (e.g. cleaning, building maintenance, IT installation) where the contractor will undertake work at multiple worksites across UNE, the contract supervisor must consult with relevant UNE business units to coordinate site specific inductions for hazardous and/or restricted areas, e.g. laboratories.

### Consultation, Cooperation and Coordination of Contractors

The contract supervisor will:

- Inform each stakeholder, prior to commence of the project/activity, if the activity/area has the capacity to impact on University business and/or safety of occupants/workers (e.g. interruption to work activities/load/space, changes in emergency evacuation arrangements/access, high risk construction work, work in high risk areas, and IT projects using BAU staff).
- Determine how to coordinate and communicate activities where other parties are also engaged in the work area.
- Determine how they will communicate with regulatory authorities should WHS issues arise during the contract.

### WHS Documentation and Risk Assessment

Work activities conducted by contractors should be planned to ensure hazards are identified and risks are eliminated or reduced so far as is reasonably practicable. Before commencing work activities, the engaged contractor is required to supply the contract engager/supervisor with WHS documentation relevant to the work tasks to be performed in order to confirm WHS risk has been considered and managed. All contractor WHS documentation shall be managed according to the UNE Records Management Rule.

Examples of documented evidence may include:

- Licences, competencies, and qualifications;
- Permits to Work;
- Safe Operating Procedures;
- Activity or project risk assessments;
- Safety Management Plans; and
- Safe Work Method Statements, where the contracted work includes high-risk construction activities and as otherwise required by the contractors Health and Safety Management System.

### Training, Competency and Licences

Having the necessary skills and experience needed to perform work safely may sometimes require specific qualifications and/or licences. Contract supervisors are responsible for ensuring the contractor, and any sub-contractors provide evidence of the training and licences required to perform the work activities they have been engaged to undertake. The Contractor Risk Management Planning Reference Tool (Appendix 3) will assist in identifying work licence requirements.

This may include, but is not limited to:

- Construction Induction Training Card – mandatory for all persons who perform construction work;
- Licences related to:

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- Electrical Work
- Demolition
- Asbestos Removal
- Driver's Licence;
- Australian High Risk Work Licence (HRWL) for the following work where it meets the requirements of the NSW WHS Regulations 2025;
  - Scaffolding
  - Dogging
  - Rigging
  - Crane and Hoist Operation
  - Reach Stackers
  - Forklift Operation
  - Pressure Equipment Operation
- Work activity specific competency certificates such as Working at Heights and Confined Space.

For category 3 and 4 contractors, copies of training and licences must be sighted and verified by the Contract Supervisor before work commences.

For category 5 contractors, records of training and licences should be maintained by the Principal Contractor in line with their WHS Management system but provided to the contract/project manager for verification upon request.

### Permits to Work

The contract supervisor must ensure that relevant Permits to Work have been approved by the UNE authorised permit approver prior to commencement of tasks identified as a hazardous work activity. The permit approver will assist in identifying the work to be undertaken, potential hazards associated with the work.

Hazardous Work activities requiring a Permit to Work are:

- Confined Space Entry
- Hot Work
- Fire System Isolation
- Working at Heights/Roof Access
- Critical System Impairment
- Asbestos Removal
- Excavation/Penetration
- Electrical Work
- High Voltage Access
- Crane Site

Refer to UNE Permit System Guidelines on the UNE Safety Hub webpage for further details on the process for issuing, authorising and closing Permits to Work.

Contractors engaged to undertake work requiring a High Risk Work Licence (HRWL) must have their HRWL sighted by the contract supervisor and relevant information recorded on the Permit to Work prior to work commencing. If a contractor does not have the required HRWL, work must not proceed.

### Site Establishment/Pre-start Meeting

When contracted works are to be undertaken in a specific location, the contract supervisor may need to conduct a site establishment inspection/induction or pre-start meeting with the contractor and relevant area supervision.

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The purpose of this meeting is to consult with the contractor to review the specific WHS requirements for the work prior to commencement at the location. Records of site establishment/pre-start meetings must be retained and at a minimum must include:

- Confirmation of works to be undertaken
- Confirmation of job specific risk controls/methods
- Any required service interruptions
- Site or project specific hazards/risks
- Incident reporting requirements
- Site access/control points
- Public/UNE staff and student safety
- Psychosocial risks
- Accessibility requirements
- Communication/consultation requirements and the appropriate communication and/or consultation approaches specific to the location/program.

### Sign In and Identification

Contractors and sub-contractors are required to sign in/out daily when they arrive and depart campus and must wear relevant identification as outlined in Appendix 2 based on their contracted work category.

Contract supervisors must ensure these processes are being followed by the contractors they are responsible for.

## 8. MANAGING THE WORK

### Monitoring Contracted Works

Requiring specific technical expertise not available within UNE is one of the main reasons for contracting work. It is not considered 'reasonably practicable' that the contract supervisor has the capability to assess all contractors on their technical abilities. However, the contract supervisor should have skills (as a Competent Person) to identify whether contractors are demonstrating safe systems of work as per the Contract for Service Agreement, through periodic or ad-hoc observations of contractor work activities.

Observation arrangements must be included in the Contract for Service Agreement appropriate to the nature of the contracted work, the estimated level of risk, and the duration of the contract (noting this is mostly relevant for work under category 4 and 5 contractors).

This oversight can be achieved by reviewing WHS documentation, observing contractor activities, reviewing reports, WHS registers and ensuring:

- Communication and consultation occur in relation to work scheduling and locations;
- Work areas are appropriately signed, barricaded and traffic management plans are in place where required;
- Requirements for higher risk work tasks and activities are communicated and met;
- Incidents are reported and investigated;
- Monitoring contractor performance in relation to risk level and reviewed at project meetings.

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### Monitoring Contracted Works Tools:

Appendix 5: Contracted Works Monitoring Checklist is provided for contract supervisors to observe and make notes against key WHS criteria within the Contract for Service Agreement or other UNE Procedures or Guidelines.

Appendix 6: Contractor WHS Audit Checklist for construction works or capital projects is provided for Contract Supervisors to check contractor conformance with their WHS Management Plan, SWMS, Permits to Work, etc. The frequency of the checks is to be determined by the contract supervisor based on the level of risk, unless the frequency is specified in the contract.

### WHS Breaches

The contract supervisor or contract/project manager may direct the contractor to cease work, or modify their work activities, in order to eliminate or reduce hazards that adversely impact the safety of workers, students or visitors. This includes where contractors fail to implement and monitor WHS requirements in line with legislation, risk assessments, SWMS, isolation and Permit to Work procedures and any other UNE requirements.

Any unsafe behaviour must be raised with the contractor and contractor company representative as a WHS breach and actions agreed to resolve it. Work should not recommence until the issue is resolved. Depending on the circumstances surrounding the breach, the contract supervisor or project manager in consultation with the WHS team and UNE Procurement, may decide to take steps to terminate the contract.

The contract supervisor or project manager must ensure that WHS breaches are recorded as an incident within the UNE digital WHS Management System.

WHS breaches should be discussed and documented in performance monitoring and review meetings held and should be an input into the post job performance review.

### Incident Management

The requirement to report incidents involving contractors that occur during the contracted works ensures:

- Prompt medical assistance in the event of an incident/emergency;
- investigation into contributing factors that led to the incident;
- corrective action identification and implementation to prevent a recurrence;
- management reporting through analysis of data captured; and
- compliance with statutory reporting obligations where applicable.

The contract supervisor must ensure appropriate consultative mechanisms are established with the contractor to promptly report incidents that occur in the course of the work they undertake.

### Notifiable Incidents on UNE Controlled Sites

Where a notifiable incident occurs on a worksite controlled by UNE, the UNE contract supervisor must inform the WHS team immediately who will notify SafeWork NSW or the appropriate state regulator as soon as is reasonably practicable. Once the people involved in the incident are safe, the incident site must not be disturbed until SafeWork NSW provide clearance.

The WHS team in consultation with the contract supervisor will conduct the subsequent investigation into the incident and provide a written report of the incident to the relevant state regulator.

The contract supervisor must report the incident details in the University digital WHS Management System and ensure they remain informed of progress of the investigation.

All work health and safety incidents must be managed in accordance with UNE WHS P007 Incident Hazard Reporting and Investigation Protocol.

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### Notifiable Incidents on Principal Contractor Controlled Sites

Where a notifiable incident occurs on a worksite controlled by a Principal Contractor appointed by UNE, the Principal Contractor must give the Regulator notice of the workplace incident.

This must occur immediately after the Principal Contractor becomes aware of the workplace incident occurring. The UNE contract supervisor responsible for the construction work is to be informed of the incident at this time.

The contract supervisor must advise the WHS team as soon as possible of the notifiable incident. The contract supervisor must report the incident details in the University digital WHS Management System and ensure they remain informed of progress of the investigation.

The Contract Supervisor and WHS team are to participate in or be kept informed of the progress of subsequent investigations. Subsequent investigation reporting is to be provided to the UNE representative and promptly attached to the incident in the University digital WHS Management System .

### Non-Notifiable Incidents

For all incidents that are not notifiable, the contractor must record the incident and advise the UNE contract supervisor:

- Within 24 hours of the incident occurring; or
- Immediately of any incident which involves a UNE worker, staff, member of the public or UNE infrastructure.

The contract supervisor must promptly record the incident details in University digital WHS Management System, participate in and ensure they are kept informed of the progress of the investigation and attach all relevant records, including a copy of the contractor incident investigation report.

## 9. COMPLETION OF WORKS/CLOSE OUT

### Completion of Works

When the contractor has completed the works they have been engaged to undertake, the contract supervisor is responsible for confirming (as relevant):

- The work has been completed as identified in the contract Scope of Work.
- The work areas have been left free of hazards with all waste removed.
- Any isolations have been removed and Permits to Work are signed off and closed out as per the UNE Permit System Guidelines.
- Any required documentation and training for new installations has been provided by the contractor.
- Provide information to the WHS team as required for updating relevant WHS risk registers.

### Contractor Evaluation and Retention

A review of contractors will be conducted at completion of the contracted works or at agreed intervals. The intent is to assess the contractors safety and quality performance to determine whether they will remain on or be removed as a preferred UNE contractor.

Input into the review may include:

- Contractor monitoring activities.
- Performance monitoring and review meeting outcomes.
- WHS breaches.
- Incidents and management.
- Performance reporting and KPI's where relevant.

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The outcomes of the contractor safety performance review become an input into future procurement planning activities as outlined in the UNE Procurement Policy.

### 10. TRAINING

UNE staff with contractor engagement and management responsibilities shall be provided with training on their roles and responsibilities for contractor safety management to ensure statutory and obligations outlined in this Toolkit are met.

### 11. DOCUMENTATION AND RECORDS

The contract engager and contract supervisor are to maintain all WHS records associated with the contract work in accordance with the UNE Document Control Rule.

The relevant contract engager & contract supervisor must retain, or have access to, records which may include (as applicable):

- requests for tenders / quotations and submissions by the contractor;
- contracts, service agreements;
- Project Plans;
- completed pre-qualification forms / contractor registrations;
- completed contractor induction checklists;
- completed risk assessments;
- completed Safe Work Method Statements;
- incident investigation reports related to the works;
- completed Contractor Site Observation Checklists;
- completed Contractor Safety Evaluation Checklists;
- records of non-conformances observed, including reports, photographs, and other relevant information; and
- other notes or emails relating to discussions about WHS and the contract works.

### 12. ROLES AND RESPONSIBILITIES

Role	Responsibilities
<b>The University</b> (as a Person Conducting a Business or Undertaking)	The University of New England has a legal duty to ensure, so far as is reasonably practicable, that workers and others are not exposed to health and safety risks arising from the business or its undertakings. For complying with these responsibilities, workers include contractors and subcontractors (contractors). Both the University and contractors have shared responsibilities under the Work Health and Safety Act 2011 (NSW) and are required to consult, cooperate and coordinate activities so that health and safety risks can be effectively managed.
<b>Chief Warden</b>	Receive information about WHS risks that may affect the workplace emergency system and procedures including: <ul style="list-style-type: none"> <li>▪ Hot work/permits</li> <li>▪ Fire system impairment notices</li> <li>▪ Emergency incidents</li> </ul>
<b>Officers of The University</b>	Ensure that UNE applies appropriate resources to: <ul style="list-style-type: none"> <li>▪ Eliminate or minimise risks</li> <li>▪ Respond promptly to information about incidents, hazards and risk</li> <li>▪ Comply with the WHS Act and WHS Regulation</li> </ul>

<b>Contract Engagers</b>	<ul style="list-style-type: none"> <li>▪ Follow the requirements of the UNE Procurement Policy and it's supporting procedures and guidelines in relation to the purchasing of goods and services on behalf of the University.</li> <li>▪ Ensuring a scope of work is developed for contracts and is risk assessed to identify the hazards associated with the work and appropriate risk controls.</li> <li>▪ Ensure that employees who monitor contractor activities have a sound understanding of WHS and know the performance standard expected of the contractor.</li> <li>▪ Support incident reporting and corrective action procedures.</li> <li>▪ Retain records of contractor management arrangements.</li> </ul>
<b>Contract Supervisors</b>	Contract supervisors are responsible for organizing, coordinating and managing contractor activities in a manner consistent with the requirements of this Toolkit.
<b>Workers</b>	All workers are responsible for taking reasonable care of their own health and safety and ensuring that their acts or omissions do not adversely affect the health and safety of others. All workers must comply with any reasonable instruction and cooperate with any relevant Policy or Toolkit relating to health and safety at the workplace.
<b>Contractors</b>	<ul style="list-style-type: none"> <li>▪ Participate in risk assessments of hazards associated with contracted services.</li> <li>▪ Provide information about their Safety Management System, where included in the procurement process.</li> <li>▪ Participate in contract management plans.</li> <li>▪ Provide WHS documentation where required, including:             <ul style="list-style-type: none"> <li>○ Induction records</li> <li>○ WHS procedures</li> <li>○ Safe work method statements</li> <li>○ Training records and licences</li> <li>○ Inspection and audit records</li> </ul> </li> <li>▪ Report WHS incidents associated with the contracted work.</li> <li>▪ Support incident reporting and corrective action procedures.</li> <li>▪ Cooperate with government regulators in WHS audits and investigations, where required.</li> </ul>
<b>University Managers and Supervisors</b>	<ul style="list-style-type: none"> <li>▪ Implement these procedures in their area of responsibility, including ensuring that any of their staff who engage a contractor (contract engager/supervisor) does so in line with these guidelines.</li> <li>▪ Assist the contract engager/supervisor to identify hazards (including site or project specific) that may pose a risk to contractors working in their area of control.</li> </ul>
<b>University Work Health Safety Team</b>	The University Work Health Safety (WHS) team are responsible for the maintenance and review of the contractor management system in consultation with key stakeholders. The WHS team will provide support, training, and guidance with implementation of this Toolkit and will also monitor implementation through internal and external audits of University business units.

### 13. DEFINITIONS

Term	Definition
<b>Competent Person</b>	A person is considered to be a competent person if they have acquired through training, qualification or experience the knowledge and relevant technical skills to carry out the task for which they are responsible.
<b>Contractor</b>	A contractor refers to a PCBU, and its workers (including subcontractors and its workers), that are engaged for the purpose of performing work or providing a service under a Contract for Service Agreement for the University.
<b>Contract for Service Agreement</b>	A service agreement is a legal contract setting out who will do what, at what price, and for how long, including details like payment, termination, intellectual property and liability. It should include a schedule with the contracted party details, scope of services, price and payment terms plus any exclusions.
<b>Contract Engager</b>	The person responsible for determining the scope of work, sourcing, engaging and may also be monitoring the contractor while on site and is nominated to the contractor as the representative of the University for the purposes of the contract work. The contract engager can also be the contract supervisor.
<b>Contract Supervisor</b>	The person responsible for managing the day-to-day activities of the contractor as the representative of the University for the purposes of the contract work. It is the person who guides the contractor and monitors the work they undertake on site. The contract supervisor can also be the contract engager.
<b>Construction Project</b>	'Construction project' is defined in the NSW WHS Regulation 2025 as a project that involves construction work where the cost of the construction work is \$250,000 or more. A construction project covers the activities involved in the construction work up to the point where the construction project is handed over to the person who commissioned it.
<b>Construction Work</b>	'Construction work' is defined in the NSW WHS Regulation 2025 as any work carried out in connection with the construction, alteration, conversion, fitting-out, commissioning, renovation, repair, maintenance, refurbishment, demolition, decommissioning or dismantling of a structure.
<b>High Risk Construction Work</b>	High risk construction work includes: <ul style="list-style-type: none"> <li>▪ work that involves a risk of a person falling more than two metres</li> <li>▪ work on a telecommunication tower</li> <li>▪ demolition of an element of a structure that is load bearing or otherwise related to the physical integrity of the structure</li> <li>▪ work that involves, or is likely to involve, the disturbance of asbestos</li> <li>▪ structural alterations or repairs that require temporary support to prevent collapse</li> <li>▪ work in or near a confined space</li> <li>▪ work in or near a shaft or trench with an excavated depth greater than 1.5 metres</li> <li>▪ work in or near a tunnel</li> <li>▪ use of explosives</li> <li>▪ work on or near pressurised gas distribution mains or piping</li> <li>▪ work on or near chemical, fuel or refrigerant lines</li> <li>▪ work on or near energised electrical installations or services</li> <li>▪ work in an area that may have a contaminated or flammable atmosphere</li> <li>▪ work involving tilt-up or precast concrete</li> <li>▪ work on, in or adjacent to a road, railway, shipping lane or other traffic corridor that is in use by traffic other than pedestrians</li> </ul>

	<ul style="list-style-type: none"> <li>▪ work in areas in which there is movement of powered mobile plant</li> <li>▪ work in areas in which there are artificial extremes of temperature</li> <li>▪ work in or near water or other liquid that involves a risk of drowning</li> <li>▪ work that involves diving work</li> </ul>
<b>High Risk Work Licence</b>	<p>Governed by the NSW WHS Regulation 2025 which requires a high-risk work licence for the following tasks:</p> <ul style="list-style-type: none"> <li>▪ Scaffolding (Basic, Intermediate or Advanced)</li> <li>▪ Dogging and Rigging Work (Basic, Intermediate or Advanced)</li> <li>▪ Crane and Hoist operation</li> <li>▪ Reach Stacker</li> <li>▪ Forklift operation</li> <li>▪ Pressure Equipment operation.</li> </ul>
<b>Notifiable Incident</b>	<p>An incident that arises out of the conduct of a business or undertaking; that results in the death, serious injury or serious illness of a person, or involves a potentially dangerous incident and therefore needs to be reported to SafeWork NSW.</p>
<b>PCBU</b>	<p>Person Conducting a Business or Undertaking.</p>
<b>Permit to Work</b>	<p>A Permit to Work authorises a worker to undertake hazardous or high-risk works at UNE. Examples include Confined Space Entry, Hot Works, Isolations, Excavations, Penetrations, and Work at Height.</p>
<b>Principal Contractor</b>	<p>A Principal Contractor is a person conducting a business or undertaking (PCBU) that commissions a construction project and has management or control of the construction workplace.</p>
<b>Safe Work Method Statement (SWMS)</b>	<p>A Safe Work Method Statement is required for works considered high-risk construction work (WHS Act 2011, NSW).</p> <p>A Safe Work Method Statement breaks jobs down into a logical sequence of steps, identifies hazards, addresses control measures to mitigate risks, and identifies who is responsible for implementing the controls.</p>
<b>Subcontractor</b>	<p>A PCBU that enters into a Contract for Service Agreement with a contractor or Principal Contractor to undertake specified work.</p>
<b>White Card</b> (General construction induction training card)	<p>The method used to formally recognise that an individual has attended WHS Induction training relevant to the Building and Construction Industry. The course title required is Prepare to Work Safely in the Construction Industry. The White Card is required to undertake Construction Work.</p>
<b>Workplace</b>	<p>A place where work is undertaken for or on behalf of the University.</p>
<b>Worker</b>	<p>A person who carries out work in any capacity for UNE and includes working as:</p> <ul style="list-style-type: none"> <li>▪ A staff member</li> <li>▪ A volunteer</li> <li>▪ An apprentice or trainee</li> <li>▪ A student gaining work experience (paid or unpaid)</li> <li>▪ A contractor or subcontractor and their employees</li> <li>▪ Labor hire company employees assigned to work for the University.</li> </ul>

<b>University Digital WHS Management System</b>	An electronic system for contractor registration, inductions incident management, etc.
<b>University Site</b>	Means any campus, site or facility owned or controlled by UNE or where a UNE business or undertaking is performed

### 14. ASSOCIATED UNE DOCUMENTS

WHS P001 Work Health and Safety Management System Protocol  
WHS P002 Organisational WHS Responsibilities Protocol  
WHS POL001 WHS Contractor Management Policy  
WHS P004 Risk Management Protocol  
WHS P007 Incident Hazard Reporting and Investigation Protocol  
WHS P001 Records Management Rule  
WHS G022 Permit to Work System Guidelines  
WHS G023 Contractor Commencement and Induction Guidelines

### 15. APPENDICES

Appendix 1: Guide to Selecting and Engaging Contractors  
Appendix 2: Contractor Categorization Matrix  
Appendix 3: Contractor Risk Management Planning Reference Tool  
Appendix 4: Contractor Safety Evaluation Checklist  
Appendix 5: Contracted Works Monitoring Checklist  
Appendix 6: Contractor WHS Audit Checklist (Construction/Capital Works)

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