

CONTRACTOR OHS REQUIREMENTS

CONTRACTOR OHS REQUIREMENTS

CONTENTS

1. SUMMARY	1	9. TRANSURBAN CONTRACTOR WORKING AT PREMISES CONTROLLED BY OPERATIONS CONTRACTORS	6
2. RELATED DOCUMENTS	1	9.1 CONTRACTOR PRE-QUALIFICATION	6
3. DEFINITIONS	1	9.2 URGENT WORKS	6
4. BACKGROUND	2	9.3 SITE INDUCTION	6
5. TRANSURBAN'S APPROACH TO CONTRACTOR OHS MANAGEMENT	2	9.4 WORK PERMIT	6
6. TRANSURBAN CONTROLLED WORKPLACES	2	9.5 INCIDENT AND INJURY REPORTING	7
6.1 CONTRACTOR PRE-QUALIFICATION	2	9.6 AUDITS	7
6.2 URGENT WORKS	3	9.7 BREACHES OR NON-COMPLIANCE / NON-CONFORMANCE	7
6.3 WORK PERMIT	3		
6.4 INCIDENT AND INJURY REPORTING	3		
6.5 AUDITING CONTRACTOR PERFORMANCE	3		
7. ASSETS UNDER THE OPERATIONAL CONTROL OF A PRINCIPAL CONTRACTOR	3		
7.1 PRE-QUALIFICATION	3		
7.2 CONTRACTOR OHS MANAGEMENT PLANS	3		
7.3 WORK PERMIT	4		
7.4 INCIDENT AND INJURY REPORTING	4		
7.5 OHS RECORDS AND REPORTING	4		
7.6 AUDITING PRINCIPAL CONTRACTOR PERFORMANCE	4		
8. MAJOR PROJECTS/ CONTRACTS	5		
8.1 TENDERER EVALUATION	5		
8.2 CONTRACTOR HEALTH AND SAFETY CO-ORDINATION PLAN	5		
8.3 WORK PERMIT	5		
8.4 INCIDENT AND INJURY REPORTING	6		
8.5 OHS RECORDS AND REPORTING	6		
8.6 AUDITING CONTRACTOR PERFORMANCE	6		

1. SUMMARY

Purpose	<p>The purpose of this Policy is to document Transurban Australia requirements in regards to management of OHS by Contractors and Sub- Contractors working for Transurban Australia.</p> <p>To ensure Contractors comply with their OHS obligations.</p>
Scope	<p>This Policy applies to any Contractor or subcontractor working on Transurban owned or controlled assets.</p> <p>This Policy does not apply to Transurban operations outside of Australia.</p>
Functional Responsibility	<p>Functional responsibility lies with the Transurban employee responsible for the Contractor's activities, whilst the Contractor is on a company site, and/or the nominated Contract Superintendent appointed by Transurban.</p>

2. RELATED DOCUMENTS

Policies	<p>OHS Policy (POHR002)</p> <p>Sustainable Purchasing Policy (POCOR009)</p>
Procedures	<p>Incident Reporting and Investigation (PRHR025)</p> <p>OHS Risk Assessment and Hazard Reporting (PRHR010)</p> <p>OHS Planning, Management and Review (PRHR017)</p> <p>OHS Audit (PRHR027)</p> <p>OHS Management – Assets (PRHR033)</p> <p>Procurement and Contract Management Procedure (PRTIGF010)</p> <p>Security Pass and ID Card Policy (POFA002)</p>
Forms	<p>Transurban Work Permit Form (FOHR082)</p> <p>OHS Non-Compliance Form (FOHR083)</p>
Other	<p>WorkSafe Victoria (www.worksafe.vic.gov.au)</p> <p>WorkCover New South Wales (www.workcover.nsw.gov.au)</p> <p>Cm3 pre-qualification tool (www.cm3.com.au)</p>

3. DEFINITIONS

RESPONSIBLE OFFICER

Transurban employee authorised to review and award contracts

TRANSURBAN RESPONSIBLE MANAGER

Transurban employee appointed to manage a contract.

VISITOR

A person who will be at a Transurban site for a short period of time and will be accompanied, as far as reasonably practicable, by a Transurban employee at all times.

CONTRACTOR

A Contractor who provides goods and/or services, or performs work for a set price or rate. The Contractor may be self employed, have employees or have business partners.

This excludes Transurban employees who are on employment contracts, temporary staff engaged through an employment agency or master vendor contract.

For the avoidance of doubt, this does not include any Transurban entities.

PRINCIPAL CONTRACTOR

The Principal Contractor is appointed by Transurban to manage a project, or operate an asset, and to perform work for or on behalf of Transurban. Transurban may authorise the Principal Contractor to manage or control the workplace to the extent necessary to discharge the duties imposed on or by the principal contract.

In Victoria and New South Wales Principal Contractors have specific obligations under OHS regulations.

For the avoidance of doubt, this does not include any Transurban entities.

SUB-CONTRACTOR

A person engaged by a Contractor or Principal Contractor to perform work or provide goods and/or services, and is paid directly by the Contractor or Principal Contractor.

OCCUPIER

A person occupying a building, structure, or plant, over which they have management or operational control (excludes financial control).

OHS

Occupational Health and Safety

CONTRACTOR OHS REQUIREMENTS

HIGH RISK CONSTRUCTION WORK

Type of construction work specified by legislation or regulations, which requires Safe Work Method Statements to be prepared prior to the commencement of work. Includes, but not limited to, working at heights above 2 metres, trenches or shafts deeper than 1.5 metres, confined spaces, tunnels, working in or around roadways / traffic / railway lines, electrical installations or services, temporary construction supports, confined spaces and removal of asbestos.

NON-COMPLIANCE

It is evident that there is a deficiency or failure to meet the standards / system requirements, there was a failure to follow the documented procedures and/or there was evidence of instances of apparent legal non-compliance.

4. BACKGROUND

Transurban operates in two states in Australia. In NSW Transurban operates the Hills M2, Airport Motorway and Lane Cove Tunnel, and has an ownership stake in another two motorways. In Melbourne Transurban owns CityLink, which connects three of the city's major freeways. Transurban has approximately 600 employees in addition to Contractors and Sub-Contractors that provide works and services to Transurban.

Transurban's OHS Policy (POHR002) states:

Transurban is dedicated to providing a safe and healthy working environment for our employees, Contractors and visitors.

Our vision is to ensure every employee, Contractor or visitor to Transurban premises returns home safely at the end of each day.

To achieve this vision Transurban has the following objectives:

1. Enhancing and continuously improving our safety culture;
2. Eliminating or minimizing risks that might cause injuries;
3. Continuously improving our safety management system and contractor management;
4. Training and supporting employees and Contractors to identify and manage workplace hazards;
5. Heightening compliance with and raising awareness of relevant OHS legislation and other requirements;
6. Promoting information on safety; and
7. Monitoring and continuously improving our safety performance

To effectively ensure that Transurban provides a safe working environment for Contractors it is necessary to document the expectations and requirements for Contractors working for Transurban in this procedure.

Note: Transurban also has major assets and projects in the United States of America. However, as this procedure is part of the OHS management system for Transurban's Australian operations this procedure will not apply to work places and assets outside of Australia.

5. TRANSURBAN'S APPROACH TO CONTRACTOR OHS MANAGEMENT

Four broad types of contracts / Contractors with unique OHS risks have been identified for Transurban's Australian operations. These are:

- Contracts / Contractors that operate at Transurban controlled premises, such as the provision of customer services staff or cleaning staff.
- Contracts for the operation of Transurban owned premises or assets, such as the Operations Contract between Transurban and Translink Operations Limited for the operation of CityLink in Victoria. In NSW Operations Contractors may also be considered to be "Principal Contractors" under OHS legislation.
- Contracts for major construction projects, such as the provision of additional lanes (i.e. Southern Link Upgrade).
- Contracts for works undertaken for Transurban but undertaken on an asset under the control of an Operations Contractor or Principal Contractor. For example the G3 upgrade project involving the provision of new tolling equipment on CityLink, which is under the operational control of Trans Link Operations.

The following sections detail the OHS requirements for each type of contract referred to above.

6. TRANSURBAN CONTROLLED WORKPLACES

Transurban controlled workplaces includes Transurban offices, customer centers and other sites where Transurban is the predominant Occupier.

6.1 CONTRACTOR PRE-QUALIFICATION

Contractors who bid for Transurban work for the supply of goods and/or services must become OHS pre-qualified by registering on the Transurban OHS pre-qualification system. This will also include existing Contractors bidding for new work.

The Contractor will need to provide information via the web-based OHS pre-qualification system detailing how they manage OHS risks or hazards related to the specific contract. The Transurban OHS pre-qualification system is the Noel Arnold & Associates web based system called Cm3. Refer to: www.cm3.com.au for further information.

The web based OHS Contractor pre-qualification system (Cm3) provides Transurban with evidence that Contractors have appropriate OHS processes in place and this has been assured by an independent qualified OHS specialist.

6.2 URGENT WORKS

Where works are required urgently, and the Contractor is not registered with Cm3 the following applies:-

- If the work is defined by Transurban as “high risk”, then the Contractor is to provide minimum information to Transurban in order for Transurban to perform an initial assessment using FOHR079 OHS Contractor Risk Assessment Check Form.
- Where the works are considered to be a low risk, the contractor will be assessed using FOHR079 OHS Contractor Risk Assessment Check Form.

The assessments will be conducted by the Contract Manager and OHS Specialist and authorised by the General Manager / Business Unit Manager. It will then be determined whether the Contractor is initially approved to conduct these works, and/or if for any further works, whether they need to pre-qualify through Cm3.

6.3 WORK PERMIT

Work Permits are not required for office based work unless the Contractor OHS prequalification process (Cm3), determines further job safety analysis or safe work method statement is required (i.e. high risk construction work). In these cases, the Contractor is to provide a satisfactory job safety analysis or safe work method statements to the Transurban Responsible Manager (or his/her delegate). Refer to the Transurban sample Work Permit form (FOHR082), or if the Contractor has a Work Permit process, then this can be used. The Work Permit must include, as a minimum:

- Who, when and where work is planned;
- Identification of risks by the person/s undertaking the work and controls to manage the work in the form of a Job Safety Analysis/Safe Work Method Statement.
- Requirements to consult and advise of hazards with other groups working on site; and
- Works authorisation (by Transurban Contract manager) and works acceptance (by Contractor)

Once the work has been completed, the area / site must be checked to ensure is safe and secure and returned to normal before closing out the permit.

Contractors and/or consultants working at Transurban premises are to be issued passes and undergo induction including OHS requirements whilst at Transurban, in accordance with the Security Pass and ID Card Policy (POFA002).

6.4 INCIDENT AND INJURY REPORTING

All Incidents injuries and near misses are to be reported to the Transurban Responsible Manager in accordance with Transurban’s procedure “Incident Reporting and Investigation” (PRHR025). Initial notification to Transurban is to be made within 24 hours of the incident, injury or near miss occurring. Where an incident is notifiable to the relevant statutory authority (Work Safe or WorkCover), the Contractor is to complete an incident report and forward to the Transurban Responsible Manager. Transurban will advise the contractor which party has the responsibility to notify the relevant statutory authority of a notifiable incident, in accordance with Transurban’s internal OHS Management System Procedures.

The Contractor will assist Transurban to investigate the cause of the incident and comply with any requests for information regarding the incident.

6.5 AUDITING CONTRACTOR PERFORMANCE

The Contractor as an “employer” has a duty of care to provide and maintain a safe workplace and consequently has an important responsibility to monitor their performance on a regular basis. Contractors are to provide the findings of their external audit reports to Transurban when requested.

7. ASSETS UNDER THE OPERATIONAL CONTROL OF A PRINCIPAL CONTRACTOR

This section refers to the situation where Transurban has a contract with a Principal Contractor to operate a Transurban owned or managed asset (Operations Contractor). An example is the Operations Contract between Transurban and Translink Operations for the operation of CityLink in Victoria. The contract between Transurban and the Operations Contractor must ensure the requirements of this section are delivered.

7.1 PRE-QUALIFICATION

All Operations Contractors must undertake Transurban’s Contractor OHS pre-qualification assessment (Cm3) prior to undertaking any work for Transurban.

7.2 CONTRACTOR OHS MANAGEMENT PLANS

The Operations Contractor in control of a Transurban asset must have in place an OHS Management System certified to AS/NZS 4801 OHS Management Systems (or an equivalent standard (i.e. Safety Map or International standard OHSAS18001 Occupational Health and Safety Standard) prior to commencement of the contract.

CONTRACTOR OHS REQUIREMENTS

The OHS Management System must include an OHS Management Plan that documents how OHS will be managed at the asset. The OHS Management Plan must include the following as a minimum:

Responsibilities;

- OHS promotion and site induction;
- Employee/Contractor consultation;
- Risk/hazard assessment process;
- Site rules/safety instructions;
- Job safety analysis / safe work method statement;
- OHS audits and inspections;
- Corrective and preventative actions;
- OHS issue resolution;
- Incident reporting and investigation;
- Health and safety records;
- Training;
- Emergency response; and
- Injury management.

7.3 WORK PERMIT

The issuing of permits to work (or work permits) for all Contractors and Sub-Contractors working in areas under the control of Operations Contractors will be the responsibility of the Operations Contractor. The permit to work (or work permit) must include, as a minimum:

- Who, when and where work is planned;
- Identification of risks by the person/s undertaking the work and controls to manage the work in the form of a Job Safety Analysis/Safe Work Method Statement.
- Requirements to consult and advise of hazards with other groups working on site; and
- Traffic Management Plans (where required) – to be approved by Operations Contractor using a person trained in Traffic Management Planning.

7.4 INCIDENT AND INJURY REPORTING

Operations Contractors are to have procedures for reporting OHS incidents, injuries and near misses as part of their OHS Management System. All OHS incidents, injuries and near misses, are to be reported to the Transurban Responsible Manager, within 24 hours, using the Operations Contractor's own incident report form. All OHS incidents, injuries and near misses are to be documented in monthly operations reports in line with Transurban requirements.

The Operations Contractor will make all relevant documentation relating to the incident and subsequent investigation available to Transurban upon request.

The Operations Contractor must notify the relevant statutory authority of any notifiable incident, in accordance with their internal OHS Management System Procedures. A copy of the completed incident report must be forwarded to the Transurban Contact.

The Operations Contractor will keep Transurban advised as to the progress of any incident investigation, including investigations by OHS Regulators or other statutory authorities. The Contractor will also report the progress of any remedial actions implemented to prevent a reoccurrence of the incident.

7.5 OHS RECORDS AND REPORTING

The Operations Contractor is to maintain OHS records and statistics including (as a minimum) statistics for the following:

- Number of fatalities
- Number of major injury reports
- Lost time injury frequency rate
- Number of hours worked in the month and over the prior rolling 12 month period (to enable the LTIFR 12 month rolling average to be calculated).
- Number of other incidents
- Number of near misses
- Number of hazards reported
- Progress on any non-compliances / non-conformances identified by OHS audits.

The above statistics and records for the previous month are to be provided to the Transurban Responsible Officer with 4 working days of end of the month.

7.6 AUDITING PRINCIPAL CONTRACTOR PERFORMANCE

The Operations Contractor will provide Transurban with copies of all OHS management system certification, surveillance audits or any other OHS audits conducted by the Operations Contractor or its auditors for the purpose of maintaining certification to AS4801 or an equivalent standard. The Operations Contractor will make these audits available to Transurban and will report on the progress to close out any non-compliance or audit recommendations in the Operations Contractor's monthly management report to Transurban.

Transurban will also undertake, when it considers necessary, "OHS system performance and benchmarking reviews" of the Contractor's OHS Management Systems. The "OHS system performance and benchmarking review" will normally assess the OHS performance of the Operations Contractor against five key criteria in accordance with AS/NZS4801 or other equivalent standard (as defined in agreement with Transurban and to assess their ongoing compliance with their pre-qualification requirements in Cm3). The "OHS system performance and benchmarking review" is not a certification audit and certification audits will need to be undertaken by the Operations Contractor to maintain certification with the relevant bodies.

8. MAJOR PROJECTS/ CONTRACTS

Where a major project involves a Principal Contractor taking possession of a Transurban premises or part of an asset, usually for the purposes of undertaking major construction works as defined under relevant legislation (i.e. over \$250,000) the Principal Contractor must fulfill their obligations under relevant OHS legislation.

The Principal Contractor will occupy the worksite. The Operations Contractor will still usually have responsibility for operating the asset, including management of health and safety issues outside of the immediate area occupied by the major construction works. Therefore, there is a need to define the roles and responsibilities of all parties during the contract development stage.

Transurban will appoint the head Contractor as the Principal Contractor for the project and will authorise the Contractor to exercise such authority as is necessary to enable the Contractor to discharge its responsibilities, as a Principal Contractor, under the relevant state legislation. Without limiting the Contractor's obligations as the Principal Contractor, the Contractor must:

- Have an OHS Management System which is in accordance with AS4801 or an equivalent, or an approved international standard.
- At all times comply with its Occupational Health and Safety Management Plan;
- Carry out works in a safe manner and so that no damage is caused to any person or property.

8.1 TENDERER EVALUATION

All Contractors who bid for Transurban major projects must be OHS pre-qualified through Cm3. The Principal Contractor is required to have in place an Occupational Health and Safety Management System certified to AS4801, or an equivalent standard, or an approved international standard. Where a preferred Principal Contractor is not certified to AS/NZS4801 or equivalent, there must be a demonstration of a commitment to achieving AS/NZS4801 or equivalent prior to commencement of the project.

8.2 CONTRACTOR HEALTH AND SAFETY CO-ORDINATION PLAN

The Principal Contractor's OHS Management System is to have in place an OHS Health and Safety Co-ordination Plan documenting how OHS will be managed for the asset. The OHS Health and Safety Co-ordination Plan must include the following as a minimum:

- Responsibilities;
- OHS promotion (if appropriate);
- Employee/Contractor consultation;
- Risk/hazard assessment;
- Site rules/safety instructions;
- Site inductions;
- Job safety analysis or assessment / Safe Work Method Statements for high risk construction activities;
- OHS audits and inspections;
- Corrective and preventative actions;
- OHS issue resolution;
- Incident reporting and investigation;
- Health and safety records;
- Training including any specific requirements surrounding General Construction
- Industry Induction Training;
- Emergency response (if appropriate); and
- Injury management.

8.3 WORK PERMIT

For each major project, Transurban, in consultation with the Principal Contractor and other stakeholders, will prepare a specific procedure for detailing how work on Transurban assets will be managed during the period of the contract. This procedure will also be binding on Transurban employees and Contractors/Sub-contractors working at the site. The procedure will include the following:

- Project overview;
- Transurban involvement in the project;
- Notification requirements;
- Timing of regular works co-ordination meetings;
- Work methodology (as per Safe Work Method Statement for high risk construction activities);
- Work permit application process and processing;
- Undertaking works; and
- Re-commissioning asset.

8.4 INCIDENT AND INJURY REPORTING

The Principal Contractor must have in place appropriate procedures for reporting OHS incidents, injuries and near misses. All OHS incidents, injuries and near misses are to be reported to the Transurban Responsible Manager in accordance with Transurban procedure Incident Reporting and Investigation (PRHR025) within 24 hours.

8.5 OHS RECORDS AND REPORTING

The Principal Contractor is to maintain the following statistics and records:

- Number of fatalities
- Number of major injury reports
- Lost time injury frequency rate (12 month rolling average)
- Number of other incidents
- Number of near misses
- Number of hazards reported
- Progress on any non-compliances / non-conformances identified by OHS audits.

The above statistics and records for the previous month are to be provided to the Transurban Responsible Officer with 4 working days of end of the month.

8.6 AUDITING CONTRACTOR PERFORMANCE

The Principal Contractor will provide Transurban with copies of all OHS management system certification, surveillance audits or any other OHS audit reports conducted by the Principal Contractor or its auditors for the purpose of maintaining certification to AS4801 or an equivalent standard. The Principal Contractor will make these audits available to Transurban and will report on the progress to close out any non-compliance or audit recommendations in the Principal Contractor's monthly management report to Transurban.

Transurban will also undertake, when it considers necessary, "OHS system performance and benchmarking reviews" of the Contractor's OHS Management Systems. The "OHS system performance and benchmarking review" will normally assess the OHS performance of the Principal Contractor against five key criteria in accordance with AS/NZS4801 or other equivalent standard (as defined in agreement with Transurban and to assess their ongoing compliance with their pre-qualification requirements in Cm3).

The "OHS system performance and benchmarking review" is not a certification audit and certification audits will need to be undertaken by the Principal Contractor to maintain certification with the relevant bodies.

9. TRANSURBAN CONTRACTOR WORKING AT PREMISES CONTROLLED BY OPERATIONS CONTRACTORS

9.1 CONTRACTOR PRE-QUALIFICATION

Contractors who bid for Transurban work for the supply of goods and/or services must become OHS pre-qualified by joining the Transurban OHS prequalification system (Cm3).

Transurban's Contractors may also need to undergo registration or pre-qualification with the Operations Contractor or Principal Contractor if this is a requirement of the Operations Contractor's or Principal Contractor's OHS Management System. For example Contractors working on CityLink will be required to undergo Environmental Health and Safety (EHS) registration through Translink Operations (the Operations Contractor for CityLink).

9.2 URGENT WORKS

Where works are required urgently, and the Contractor is not registered with Cm3 and defined by Transurban as "high risk", then the Contractor is to provide information to Transurban in order for Transurban to perform an initial assessment using FOHR079 OHS Contractor Risk Assessment Check Form. This will be conducted by the Contract Manager and OHS Specialist. It will then be determined whether the Contractor is initially approved to conduct these works, and/or if for any further works, that they become pre-qualified through Cm3).

9.3 SITE INDUCTION

Transurban's Contractors and Sub-Contractors will need to undertake any site induction training that is required by the Operations Contractor's or Principal Contractor's OHS Management System prior to commencing work on the asset or premises under the control of the Operations Contractor or Principal Contractor. This will include the mandatory General Construction Industry Induction Training required for construction sites.

9.4 WORK PERMIT

Transurban's Contractors will need to meet any work permit requirements specified by the Operations Contractor or Principal Contractor, in some cases the work permit application will be forwarded to the Transurban contact for authorisation prior to the Operations Contractor or Principal Contractor issuing the permit to work. This will normally be negotiated between the Operations Contractor or Principal Contractor on an asset by asset or project by project basis.

9.5 INCIDENT AND INJURY REPORTING

All OHS incident, injury or near miss reports are to be forwarded to the Transurban Responsible Manager, in accordance with Transurban's procedure for Incident Reporting and Investigation (PRHR025), Initial notification to Transurban is to be made within 24 hours of the incident, injury or near miss occurring.

Contractors will assist Transurban to investigate the cause of the incident and comply with any requests for information regarding the incident.

The Transurban Contractor must comply with any injury and incident reporting requirements specified by the Operations Contractor or Principal Contractor's OHS system (usually detailed on the work permit). This may mean there is a doubling up with Transurban's injury and incident reporting requirements.

9.6 AUDITS

Transurban Contractors and Sub-Contractors must comply with any requests to participate in audits or spot audits commissioned by Transurban, the Operations Contractor or Principal Contractor.

9.7 BREACHES OR NON-COMPLIANCE / NON-CONFORMANCE

Where Transurban, the Operations Contractor, or Principal Contractor, identify a breach of health and safety requirements, the Contractor will be notified by the Transurban Responsible Manager as soon as practicable with the details of the non-compliance. The Contractor will be required to rectify the breach of health and safety requirements as soon as practicable.

