

Dunedin City Council Contractor Health & Safety Information Handbook



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Introduction

Kia ora and welcome to contracting with the Dunedin City Council (DCC). As a Contractor, you play an essential role in the delivery of our work so your health and safety and the health and safety of those affected by the works is extremely important.

We understand that in some instances you are not working for or on behalf of us but will be working on our infrastructure or assets, such as our roads, which ultimately means there will be overlapping health and safety responsibilities as your work will affect others in the vicinity. This requires you to be an approved contractor.

This information booklet is to help you understand our practices, expectations and health and safety requirements for working safely on our sites. It will also assist you in understanding your roles and responsibilities while working on behalf of DCC, and at our DCC operated facilities. This enables us to work collaboratively with you for the health, safety and wellbeing of all parties, including safeguarding our communities.





Legal Responsibilities

Under the Health and Safety at Work Act 2015 (HSWA), a person conducting business or undertaking (PCBU) has a duty of care for the health and safety of its workers and any other workers it influences or directs. The DCC is a PCBU, you as a contractor or sub-contractor (whether a large business, small or even self-employed) are a PCBU. As well as workers, a PCBU is also responsible for the health and safety of other people at risk from its work including customers, visitors, or the general public. This is called the '**primary duty of care**'.

The primary duty of care means that a PCBU has the primary responsibility for the health and safety of workers and others influenced by its work. So far as is reasonably practicable, a PCBU must ensure the health and safety of:

- its workers (including yourself if you are self-employed)
- any other workers who are influenced or directed by its business
- other people who could be at risk by the work of the business e.g. customers, visitors, children and young people, or the general public

Overlapping Duties

When you work with other businesses at the same location or through a contracting chain you must work together to fulfil your duties of care. Where these duties (health and safety responsibilities) overlap, you need to **consult, cooperate and coordinate** your activities to meet your health and safety responsibilities to workers and others.

You can't contract out of your health and safety responsibilities or push risk onto others in a contracting chain. The more influence and control your business has over a workplace or a health and safety matter, the more responsibility you are likely to have.

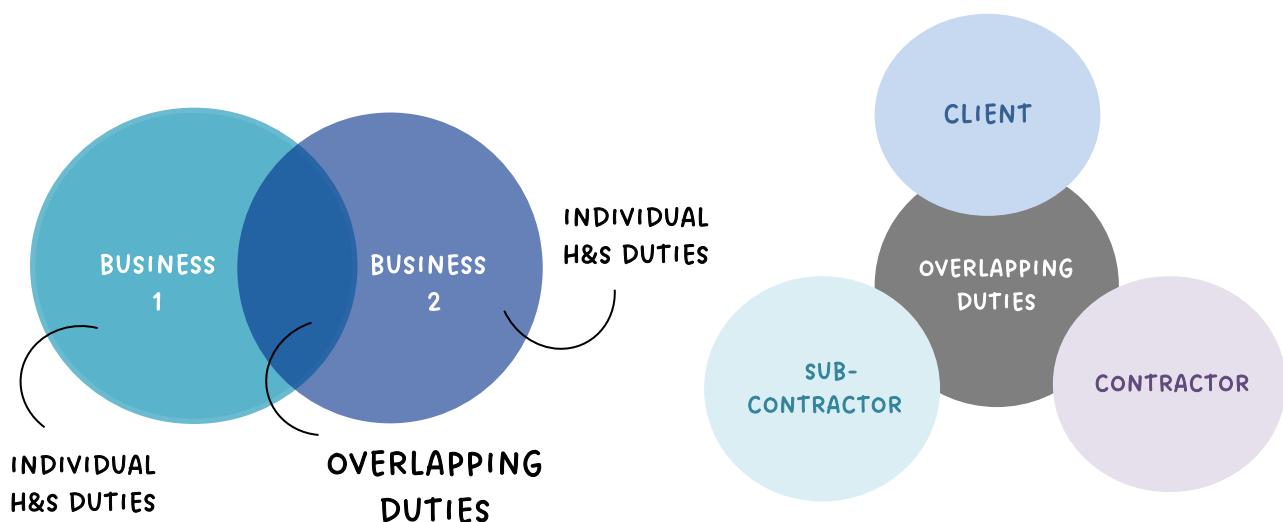
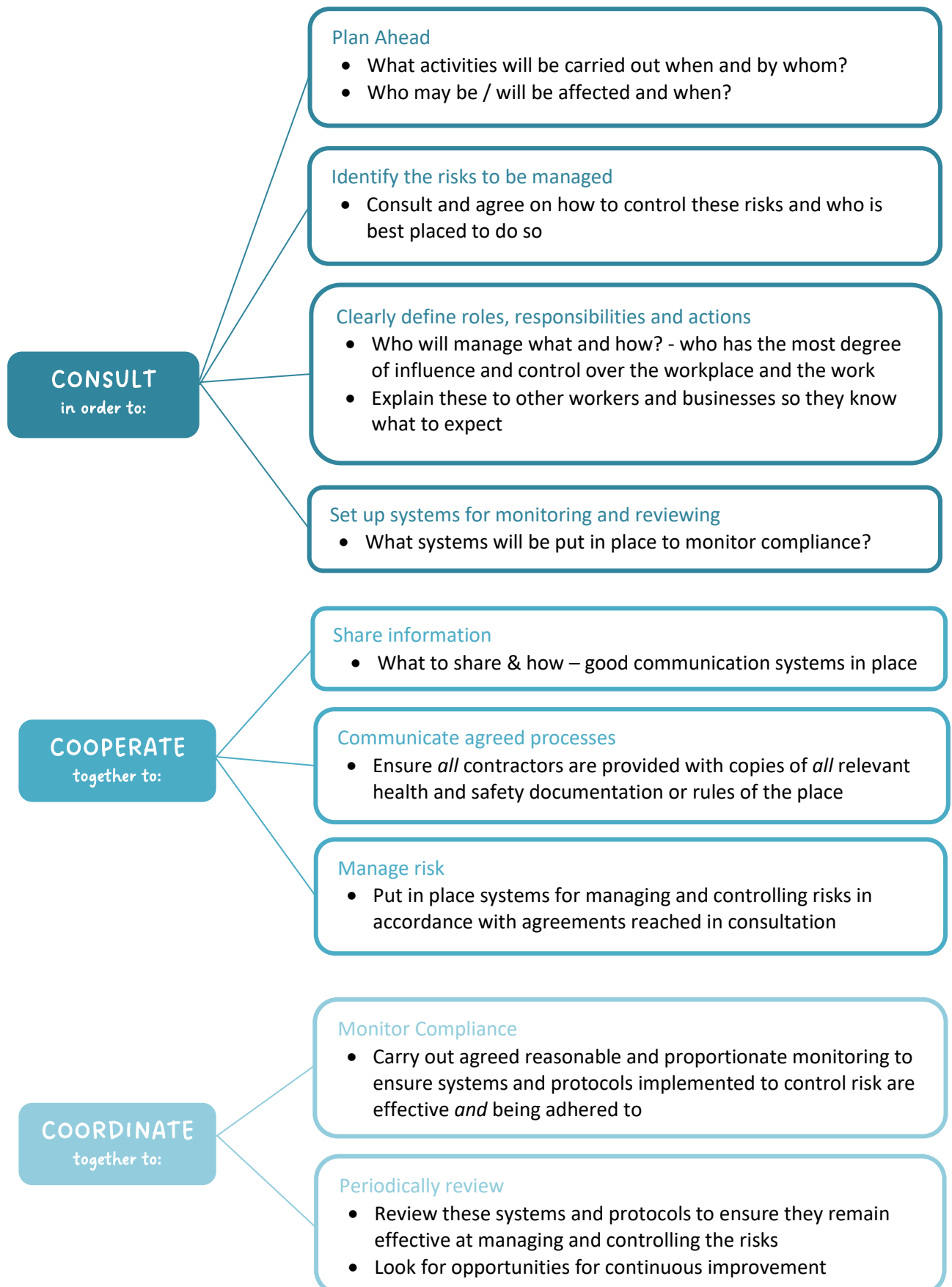


Fig.1 Overlapping duties in a shared space

Fig.2 Overlapping duties where the workplace is not shared (e.g. in a contracting chain)

The 3 C's: Consult, Cooperate, Coordinate

The following points are areas to think about and discuss and will help you to meet your overlapping duties





When working with other businesses health and safety is everyone's responsibility.

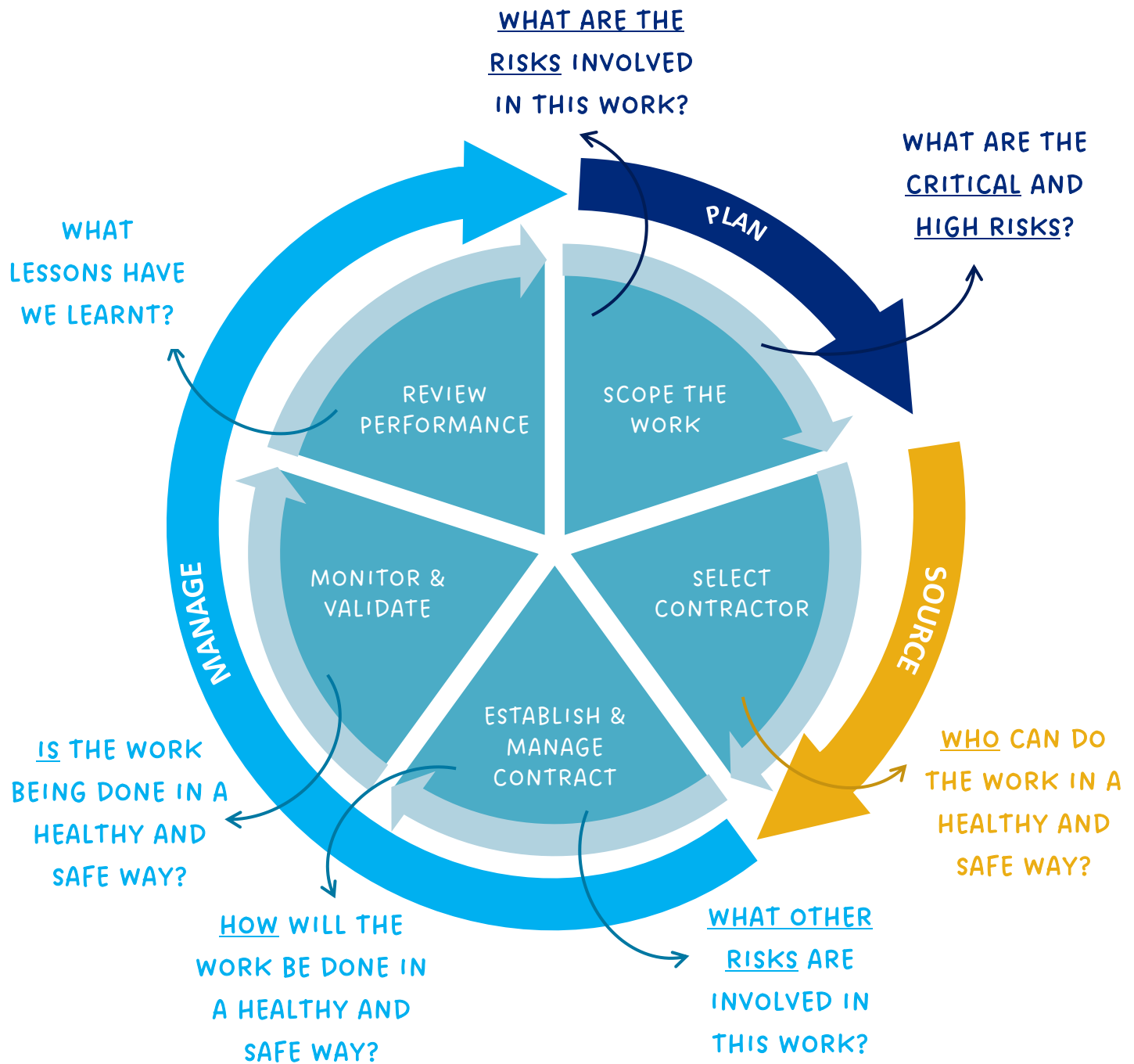
If you engage sub-contractors DCC expects that you will also implement a similar process to ensure your sub-contractors are provided with all the information they need to be kept safe on site, and that you will monitor their performance to provide assurance that they are familiar with, and comply with, health and safety requirements.



For more information on overlapping duties check out Worksafe's overlapping duties quick guide [here](#)



H&S within our Procurement Lifecycle



Who is responsible for what?

Dunedin City Council Responsibilities – we will:

- ❖ Establish contracts which clearly specify the health and safety standards to be met
- ❖ Inform you of any known hazards on the worksite and ensure that the risks have been identified and of the control measures currently in place
- ❖ Seek to understand the risks of your activities and review the controls you have in place
- ❖ Seek evidence to ensure you have an effective working health and safety management system and are competent for the work you are engaged to do
- ❖ Ensure that any DCC-owned plant is designed, made and maintained for safe use
- ❖ Communicate emergency procedures for buildings occupied by DCC employees
- ❖ Have clear, effective reporting procedures to provide assurance that all duties are being met
- ❖ Monitor and evaluate health and safety performance and compliance

Contractor Responsibilities – We expect you to:

- ❖ Identify hazards and associated risks to health and safety (including risks of physical harm, ill health, and psychological risks) and ensure appropriate controls are in place
- ❖ Provide and maintain your workers with safe systems of work and safe equipment
- ❖ Ensure the safe use, handling and storage of plant, substances and structures
- ❖ Comply with our health and safety requirements and behavioural expectations
- ❖ Ensure your workers (including sub-contractors) are familiar with our requirements – including our reporting procedures and relevant emergency procedures
- ❖ Ensure that anyone working for you (including sub-contractors) has the knowledge, skills and experience to carry out their work safely
- ❖ Report events (injuries, illnesses, incidents and near-misses) within prescribed timeframes
- ❖ Take appropriate action following events, risk reviews, audits and inspections
- ❖ Provide adequate and accessible welfare facilities such as toilets, drinking water, washing, and eating facilities
- ❖ Provide the necessary information, training, instruction, or supervision for workers to do the work safely and competently
- ❖ Monitor health and safety performance of your workers and any subcontractors you engage

Worker Responsibilities – We expect all workers to:

- ❖ Take reasonable care of your own health and safety
- ❖ Ensure that your acts or omissions do not adversely affect the health and safety of others
- ❖ Comply, as far as reasonably practicable, with health and safety policies and procedures and behavioural expectations
- ❖ Report events – accidents, incidents, near misses, hazards and suggest improvements
- ❖ Use and maintain personal protective equipment (PPE) provided



For more information on PCBU responsibilities and shared duties see [PCBUs Working Together: Advice when contracting: WorkSafe NZ 2019](#)

Approved Health & Safety Contractor Pre-qualification Process

To help us meet our obligations under HSWA we have a contractor health and safety approval process which is managed by our Health and Safety team. We operate and publish a listing of those contractors who have had their health and safety management systems approved by us on our DCC website. This is updated monthly.



You can view the list of DCC Approved Contractors here:

<https://www.dunedin.govt.nz/council/procurement/approved-contractor-policy/list-of-approved-contractors>

See [Appendix A DCC Application Process](#) for an overview of the process.



For more information and to apply online visit our website here: [Once application online update this link](#)



You, and any subcontractors you engage, must be approved before commencing work and must maintain your current approval status for the duration of the work.

Insurance

You must hold appropriate insurance to indemnify DCC against:

- Any loss suffered by DCC which may arise out of or in consequence of work undertaken
- Any liability incurred by DCC in respect of injuries of persons or damage to property which may arise out of or in consequence of work undertaken
- Any costs the DCC may incur in respect of that loss or liability

As part of the health and safety approved contractor process our DCC health and safety team collects and stores your insurance information in our health and safety system. They do not, however, determine if your insurance cover is sufficient. This will be determined by the contract for any works you are engaged to carry out.

Reporting for Work

Induction

Prior to any work starting you will need to be inducted. This may be a multi-step process with the depth of detail dependent on the relevant size, complexities and risks of the project as well as the nature of the worksite. e.g. a DCC staffed facility such as Moana Pool, a non-staffed facility like a pump station or one of our assets such as a reserve or road. Some sites will require a one-on-one induction with supervised tour others may be carried out via phone, email, or online if available.

The aim of the induction is to:

- Present important safety, site-specific and workplace introduction information;
- Familiarise you with our processes;
- Outline our site specific rules that must be complied with; and
- Collect required information from you to ensure compliance for working on site e.g. verifying licences and qualifications

The level of detail will reflect the health and safety risk profile of the contract but should include:

- Roles and responsibilities for all parties
- Names and contact details of the nominated contact person from each organisation including DCC
- What work activities are being carried out, when and by whom
- Procedures for reporting events (including requirements for reporting events to DCC and Worksafe NZ)
- Procedures for reporting hazards
- Site layout (e.g. access points, perimeter, restricted zones, material storage areas, transport routes etc.)
- Planning and running of joint meetings
- Communication methods including formal arrangements to exchange information and frequency e.g. pre-starts, toolbox talks and for longer duration projects - health and safety meetings
- Meeting minutes and attendance shall be documented and kept e.g. diary notes, formal minutes, toolbox apps etc

We will give information on:

- Hazards and risks known to exist on the DCC site that may affect you or your workers
- Any DCC operating procedures that contractors will be required to comply with e.g. LOTO
- Any permit to work requirements including specific high-risk work permits e.g. working from height, confined space etc;
- Restricted areas and any areas requiring specific PPE e.g. gas monitor
- Details of existing emergency procedures and first aid facilities

You are expected to give information on:

- Hazards and risks you (and any of your subcontractors) will be bringing or creating on site
- Your safety provisions for other people who might be affected by the work, e.g. DCC and other workers, customers, members of the public
- Hazard identification process and site hazard register
- Restricted areas
- Safety equipment that may be necessary

DCC staffed facilities:

For example, a swimming pool, library, art gallery

If you are working at a site where DCC staff are based, you will need to:

- Sign in and out at reception, or agreed designated sign in / out point, daily
- Complete the site-specific induction

- Be aware of the site emergency and evacuation procedures, including the location of the evacuation assembly point (this will be included in your site induction. If you have not been advised, ask!)
- Ensure your work area is clearly delineated, and / or appropriate signage is present
- Only use facilities that have been identified to you during the induction
- Make sure that you know who your designated DCC contact is and how to contact them
- If you haven't been on our sites for a while, you may need to be re-inducted to ensure you remain familiar with our health and safety requirements. Check with your DCC contract manager or the site manager on refresher induction requirements.

Non-staffed DCC facilities:

For example, pump stations or reservoirs you will need to:

- Inform your designated DCC contract manager of your arrival time, work scope and anticipated exit time
- Be aware of all other workers who are present in the work area and ensure your activities do not adversely impact on them
- Be aware of the site emergency and evacuation procedures (this will be included in your site induction. If you have not been advised, ask!) and ensure you have procedures in place to deal with emergency situations that may arise from your work
- If you haven't been on our sites for a while check with your DCC contract manager or the site manager on refresher induction requirements.

Contractor-controlled worksites:

For example, a road, a reserve etc.

Where you are in control of the workplace you must:

- Have an induction plan in place that covers the information described above
- Ensure that inductions are completed for all workers, including all subcontractors and visitors
- Keep records of those inducted

If you are not the contractor in control of the workplace (e.g. you are a subcontractor), you must:

- Ensure that they are aware of your presence and your work scope along with the risks you bring to, or create, on site
- Have procedures in place to deal with emergency situations that may arise in the course of work
- Complete an onsite induction
- Comply with the sites health and safety policies and procedures including emergency and evacuation procedures



We appreciate that, at times, you are called in response to an emergency, but in the case of planned work you are asked to arrange an induction before turning up. Ensure all your workers entering the worksite site are inducted, not just one member of your work team.

Communication and Sharing Information

Effective communication and the sharing of information is a critical component of how we manage risk and is a big part of each of the 3 C's – consult, cooperate and coordinate. It is expected that we will maintain routine communication and consultation with you on health and safety matters. We may need to provide information and answer questions specific to the work, assist with completion of health and safety risk assessments, or assist with safe work method statements where appropriate.

If your work is ongoing, daily pre-start discussions, weekly toolbox meetings, tailgates, or whatever you refer to them as, are an essential opportunity to plan, share important information and check understanding – ensuring everyone's on the same page. Include subcontractors in your daily task discussions.

- Discuss who is doing what
- Confirm what subcontractors are due later in the day and what they are doing
- Introduce new staff or subcontractors
- Identify how your work will impact on others
- What risks may be introduced e.g. mobile plant on site, deliveries etc
- Check everyone has the appropriate tools and resources to do the job
- Where appropriate JSA's/task analysis and permit to work documents are relevant for the work being undertaken and all staff working to these have read, understood and signed the documents

If someone can't make the meeting, make sure they are given any relevant information **before** they start work.



Creating working environments where workers feel safe and are encouraged to speak up about risks is critical to improving health and safety outcomes in New Zealand.



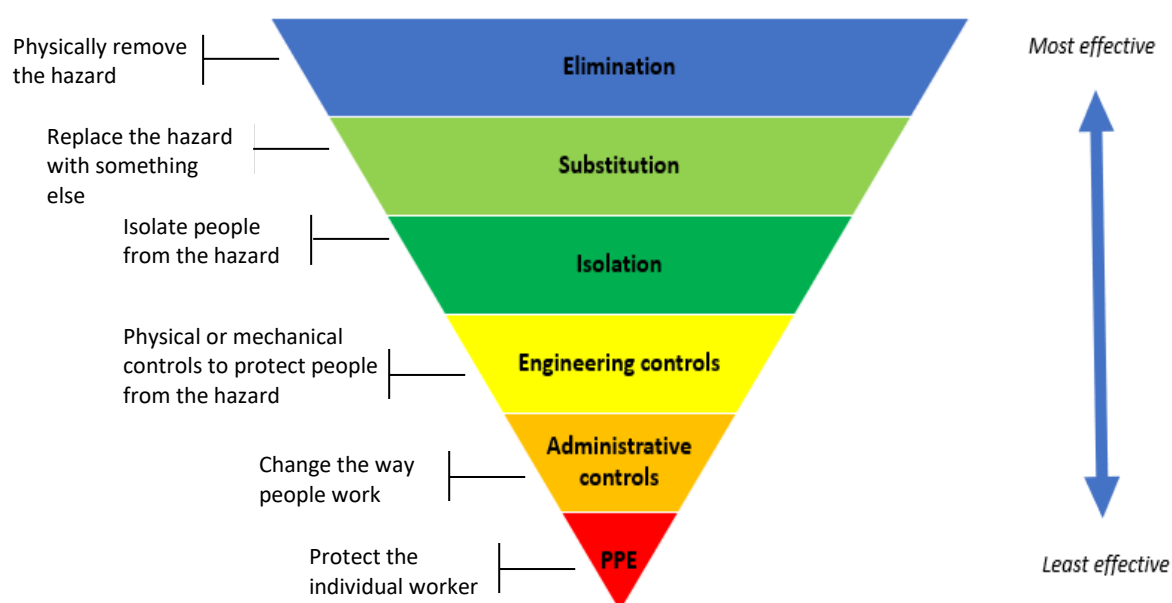
Managing Workplace Risks

Different businesses have different health and safety risks. It all depends on the type of work you do. You are responsible for managing risks associated with your work activities.

Risk management means you need to think about, and focus on, the risks relating to the actual work being done and the worksite where its being done and take all **reasonably practicable** steps to eliminate them or minimise them using the hierarchy of controls.

Hierarchy of Controls

The hierarchy of controls is a system for controlling risks in the workplace based on ranking types of controls from the highest level of protection and reliability through to the lowest and least reliable protection. Elimination being the highest and PPE being the lowest.



Reasonably practicable

Reasonably practicable means putting in place the highest level of protection considering what can be done and whether it is reasonable given the circumstances – taking into account:

- your operating environment,
- the benefits to safety gained; and
- the costs (in money, resources and creating different risks).

The law makes it quite clear that if you are using cost as a reason not to adopt a safety control then it must be because the cost of the control is grossly disproportionate to the benefits gained. Your budget is not regarded as a factor in this equation – so if you cannot afford to adopt a control but the cost isn't grossly disproportionate you should not be doing that activity!

Ensure all workers and groups involved in the work have input into the risk management process consult with them on control measures put in place to protect them and ensure these are fit-for-

purpose and effective. Multiple controls from more than one layer of the hierarchy of controls are often required to lower the risk of a single hazard.

Prioritise your risks - look at the those that can seriously hurt or kill people and deal with those first by committing your resoruces to eliminating them or minimising them.

Before you start work, your DCC contract manager will also ensure that you are made aware of any known hazards, risks and risk control measures specific to the worksite – see [Communication and Information Sharing](#).

Review your risks

The process of identifying hazards and managing risks is ongoing and is never really finished. The way risks are controlled should be regularly reviewed and recorded. Developments in identification of hazards as well as research, technologies and methods for managing and eliminating risks are continuously improving. Reviewing your risks means asking yourself 'is there now a better way for managing this risk?' and 'can this risk now be eliminated?'. This should be done regularly, at least once a year, and should be done collaboratively, involving all the workers and others who need to be involved.

DCC's Critical Risks

Critical risks are the risks that have potential to cause serious harm to our workers to the public. Critical risks identified in contracts must be managed with the appropriate control measures approved and signed of the by the DCC Contract manager.

There are a number of critical risks identified across DCC work sites that contractors may be exposed to:

- Working in a confined space
- Working at height
- Working on or near roads
- Hot Work
- Lone working
- Exposure to hazardous substances
- Hazardous energy sources
- Excavation and trenching
- Impairment at work
- Aggression and violence in the workplace

Particular Hazardous Work (Notifiable Work)

You must notify Worksafe New Zealand with 24 hours' notice of work that is particularly hazardous. You can complete this notification online through the link below.

A copy of this notification must be supplied to your DCC contract manager no later than 24 hours before work starts.



For a list of the types of work requiring notification to Worksafe visit:
<https://forms.worksafe.govt.nz/hazardous-work-notification>

Health and Safety by Design

Site-Specific Safety Plan (SSSP) must make sure that they make work healthy and safe right from the start of the design process. Health and safety by design supports a risk management approach and should be undertaken in the process of managing health and safety throughout the lifecycle of structures, plant substances or other products. People with knowledge of each phase of a project (from design to demolition) should be consulted at the design stage to identify problems and solutions.

Site Specific Safety Plans

Health and Safety plans/Site specific safety plans are your responsibility and are the basis against which your practices and performance are understood and monitored. Both you and your DCC contract manager will discuss and agree on what content is required to be included.

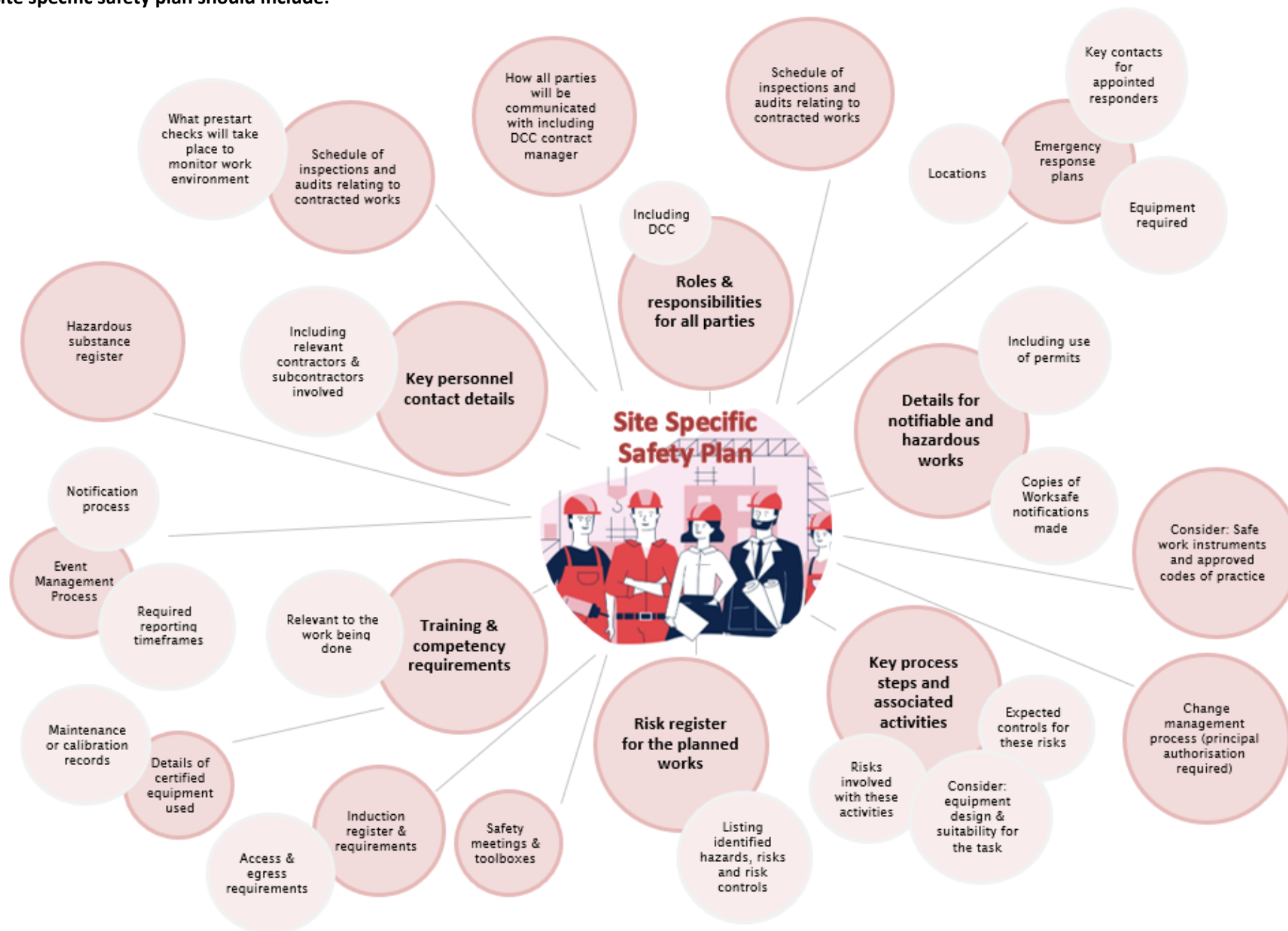
For medium-high risk contractors you will be required to prepare a site specific safety plan for each project and/or job. If you are a long term maintenance contractor it is not intended that you have a separate safety plan for each job you undertake – a generic health and safety plan is sufficient, although you may have separate site-specific hazard registers.

For high-risk work you will need to submit a comprehensive site-specific safety plan to your DCC contract manager prior to starting work. If you are working within one of our operational facilities you will be required to supply a completed Job Safety Analysis (JSA) and complete a Permit to Work (PTW) as well as any other specific permit(s) required. The type of information required depends on the scope of works and level of work and level of risk.

Make sure that the site-specific safety plans have been reviewed and approved by your DCC contract manager before you start work. We will keep a copy for safety audit purposes using it as a basis for health and safety monitoring of the work being carried out.



A site specific safety plan should include:



Permit to Work

We have a Permit to Work (PTW) system on our operational sites. A PTW shows a worker has permission to perform a particular job in an agreed way. It stipulates the conditions the worker must comply with to perform the job safely. The Permit to Work should always be accompanied by a Job Safety Analysis (JSA). The JSA is a task specific risk assessment that spells out the steps required to carry out the activity, the hazards identified at each step and the controls that will be in place to mitigate these hazards.

The purpose of the permit is to ensure all required documentation has been supplied and subsequent hazard mitigation has been implemented as directed by the documentation. It confirms any hazards related to the task have been identified and controls have been put in place to reduce the risk of harm.

Always obtain the appropriate permits before starting any work, in particular those that have a high risk that can result in **serious harm/fatality**. Our operational sites have the following high risk permits:

- Confined space work
- Working at heights (for any work over 2m)
- Excavation/trenching
- Hot work
- Isolation certifications for hazardous energy sources / LOTO (Lock out tag out)
- Add property permit for isolating alarm system

Where existing Council PTW systems are not already in place (e.g. away from operational sites) you are expected to provide your own PTW systems/process which will be validated by a DCC contract manager for assurance purposes before work starts. If you do not have a PTW system/process you must be able to show the relevant safe work methods to be carried out while conducting the work.

Training and Competency Requirements

We expect that all contracted workers are competent to carry out all tasks safely. If you have trainees, apprentices, new workers or subcontractors make sure they are adequately supervised by a competent person to ensure work is being carried out safely.

During the contracted works, we may request evidence of your training records and qualifications.

Management of Subcontractors

If you intend to use subcontractors for any physical works, they need to comply and follow the main contractor's safety framework. As a contractor, you also need to ensure that your subcontractors have the appropriate level of insurance (unless the subcontractor is working under your insurance), attends a site induction, is familiar with the risks and control measures, incident reporting requirements and the emergency procedures.

Personal Protective Equipment (PPE)

You are responsible for providing, using and maintaining personal protective equipment and clothing for yourself and your workers (including subcontractors).

You must:

- ensure your workers are trained in how to use, maintain and store their PPE
- advise other people in the vicinity where the hazards of your work may affect them that they will need to either vacate the area or equip themselves with the correct PPE
- meet health monitoring requirements arising as a result of you and your workers using PPE
- instruct people not suitably protected to leave the area while the hazard is present as you have the right and a responsibility to do this

If certification is required for the PPE, evidence of this certification must be available (e.g. attached in the site specific safety plan). We may request to see this information during the contracted works. Contractor PPE will be determined on a risk-based approach. All tasks to be risk assessed to determine what PPE is needed in relation to the risk identified.

If we supply you with any equipment then we are obliged to ensure that:

- the equipment is suitable for its purpose
- it is well maintained and any certification required is up-to-date and available on request
- if the equipment fails there are clear instructions concerning what to do and who to contact



Reducing risk solely through the use of PPE is the lowest, and least effective level of control, particularly if worn or used improperly. PPE should typically only be used where higher level controls are also used but don't completely control the risk of harm.

Housekeeping

Please keep your site / work area tidy. This includes:

- Making sure tools, equipment, and any loose material is stacked away safely and securely
- Keeping all facilities clean and secure
- Removing all rubbish from site and recycling and disposing of it appropriately



Public Safety

Consider who may gain access to your site, and how to prevent them from coming to any harm. Ensure that the public are adequately warned of any potential risks at the worksites. This may include signage, barriers, fencing, temporary footpaths and lighting or any other suitable means to control or restrict access to the work area.

All public safety measures including required signs and warning systems defined in relevant legislation, approved codes of practice, and/or Road Controlling Authority instructions must be used and adhered to, at all times when working in the road reserve.

Prior to the commencement of any work to be undertaken in the road reserve you must apply for a Corridor Access Request and submit a traffic management plan to the Road Controlling Authority (which is the DCC for local roads and Waka Kotahi for state highways).

You are responsible for the health and safety of all people directly impacted by, or at risk from, the work being undertaken. This responsibility extends to risks not directly associated with the work activity or site, such as detour routes, if they're deemed necessary.

Worksite fencing must be more than just orange mesh or hazard tape – anything that can be squashed down or lifted to gain access is not sufficient.

Backfill your excavations at the end of the day where possible, or fence off, or cover up securely (e.g. a solid cover not a tarpaulin).

Also consider how you store materials on site. Try to restrict access where you can. Children may enjoy climbing around or through pipes stored on the site, however if pipes move a child may be crushed.



You have the right (and a responsibility) to instruct members of the public to leave or avoid the area while works are being carried out, if there is a risk to their health and safety, or their presence onsite could create a health and safety risk to workers onsite.

Behavioural Expectations

Good relationships with other contractors, our own DCC worker's, neighbouring property owners and the public are important. Your company's reputation and ours are at stake. You may be in control of your worksite however you must remain professional at all times particularly where your work is in view of our customers, members of the public or our staff.

The following behaviours are unacceptable:

- Use of aggressive, offensive or abusive language and conduct
- Bullying, harassment or intimidating behaviour towards others
- Disregarding your own safety or the safety of others
- Disrespecting or treating others unfairly or in a discriminatory manner due to their race, age, religion, gender, sexual orientation or disability

Public Relations and the Media

You may be in control of your worksite however offensive language, offensive behaviour, unprofessional or unsafe behaviour is not acceptable particularly where customers, members of the public or our staff may witness this.

As the public takes a keen interest in DCC works, please be mindful about what you tell the public about your project or tasks. Sometimes what you say can be misinterpreted and end up on social media or in the local paper. If you are approached to make comment by any person from the media, please do not make comment and instead direct them to the DCC Communications team.

Plant, machinery, tools and equipment

All your plant, machinery, tools and equipment shall be:

- Fit for purpose
- Pre-start completed before use
- In safe working condition, and well maintained
- Used in accordance with the manufacturer's specifications
- Where required, certified, or tested and tagged. All licensing and certification requirements shall be met by the contractor
- Staff using the machinery have had adequate training and where applicable, necessary supervision should be in place
- No unguarded machinery shall be brought into the workplace

Impairment at work

If you are under the influence of drugs or alcohol, you are putting yourself or others at risk of injury. Drugs and alcohol are strictly prohibited on DCC sites and while carrying out work on behalf of DCC. You must have in place an effective Drug and Alcohol policy that applies to your workers.

Emergency Management

You will need to have relevant emergency response plans (ERP's) in place specific to the site, the activities undertaken and type of emergencies that could arise, for example:

<i>Work being done</i>	<i>Types of emergencies</i>
Excavation and trenching	Collapsed trenches
Lone working	Missing lone worker, medical event
Working with hazardous substances	Hazardous chemical spills, gas leaks
Working in a confined space	Asphyxiation, medical event
Working at height	Falls

Your plan needs to be specific - include steps to take to effectively respond to each potential emergency. All critical and high risks identified must have an emergency response e.g.

- Are you doing confined space work? Do you have rescue equipment? Are all participants trained?

- Are you working at height? What if someone falls and is suspended in the harness? How will you rescue them? Who is on site and what equipment is available to carry out this rescue?
- Will you be using hazardous substances? Are all workers trained in how to manage or contain a spill? Do you have a suitable spill kit available and appropriate PPE?

Emergency Plan Considerations

Emergency procedures for evacuating the site in case of fire. Do people onsite know the procedures and where the emergency exits and assembly points are?	Who will be the Incident Controller? identify people within your team who can assume this role – avoid single point dependencies	System for getting in touch (current emergency contact details) Check who is signed in on site e.g. contractors, visitors
Clear roles and responsibilities for responders	Is there a means for raising an alarm and does it work?	How will you maintain communication?
Physical address of worksite	Access to any equipment you may need, including PPE and first aid	Maintenance and inspection of emergency equipment
Notifiable events – procedure, e.g. freezing site, contact Worksafe etc	Training required – specific training for people with formal roles in an emergency – for example, confined space or fall from height rescue, first aiders. Record and tracking of training for these people	If contract duration is longer than 6 months you will need to conduct emergency drills

Make sure all workers, including subcontractors, are aware of emergency response plans that apply to the contract.

First aid

All DCC staffed facilities have first aid kits and trained workers with current first aid certificates.

You should provide your own suitable and readily accessible first aid kits when not working on a DCC staff site or where you work involves risks of a such a nature that specialise first aid equipment or materials may be required. It is your responsibility to provide this and ensure it remains fit for purpose. You should also have enough first aid trained workers and that you have appropriate first aid equipment available.

Event Management

If an event occurs we need to understand what happened and how it occurred. You are required to record, report and investigate all injuries, incidents and near misses using your own systems for doing so.

Contractors are expected to report certain events within a specified timeframe, which should be specified in the contract, to their DCC contract manager. Otherwise, details of the types of events, when to notify and to whom are outlined in [Appendix B Event Reporting – What, When and How](#). Where the event type has been specified to be reported once a month, it is expected these will be reflected in the monthly report supplied to DCC.

Effective corrective actions to prevent reoccurrence should be identified and actioned. These should be reasonably practicable – see [Reasonably Practicable](#).

Lessons Learnt

In pursuing continual improvement in health and safety management, the sharing of lessons learnt from accidents, incidents and near-misses is key to reducing the likelihood of re-occurrence in the workplace. Generally, incidents occur when systems fail to protect the worker. Always look beyond worker error to understand these failures so you can address them with appropriate corrective actions. Focusing purely on human factors e.g. the worker made a mistake / was unaware of the hazard / was complacent means your corrective actions will not address root causes. Finding the root causes forces you to ask more questions - why were they unaware? Why were they complacent? Why did they make a mistake?

The sharing of lessons learnt and the issuing of safely alerts demonstrates an organisation's commitment to health and safety. We will support and assist you to be proactive in the promoting of lessons learnt.

Notifiable Events

If you or one of your workers (including subcontractors) has a notifiable event:

- Notify WorkSafe as soon as possible.
 - If someone has been killed as a result of work, notify WorkSafe immediately by phone: 0800 030 040 (24/7).
 - In the case of emergency, phone 111.
 - For all other notifications use the [Notify WorkSafe tool](#)
- Preserve the site until an inspector arrives unless directed otherwise by Worksafe
- Notify your DCC contract manager as soon as possible after Worksafe have been notified and provide us with the Worksafe reference number
- Keep records of all notifiable events
- Provide a copy of the investigation report to us in a timely manner



For information on notifiable events see <https://www.worksafe.govt.nz/notifications/notifiable-event/what-is-a-notifiable-event/>

Contract Monitoring

As part of our due diligence we will carry out health and safety monitoring to verify that risks are being effectively controlled and that workers (and others) are protected from harm.

The frequency and comprehensiveness of monitoring will be dependent on the level of risks of the contracted work. This should be discussed with you at the commencement of the contract. If non-compliances are identified, the frequency of monitoring may be increased.

You will need to provide us with access to the site in order for us to review, monitor or audit your health and safety procedures.

Contractor health and safety monitoring

If you are contracted to work on larger / longer duration contracts, you may be required to submit health and safety data on a regular basis to enable us to measure safety performance for the duration of the contract.

We review both lead and lag indicators:

- Lead (active) indicators are focused on continuous improvement and include what you are doing to prevent injuries and incidents from occurring e.g. holding toolbox meetings, carrying out inspections and audits, equipment maintenance scheduling, safety behaviour observations, leadership conversations etc
- Lag (reactive) indicators are used as learning opportunities to identify what hasn't gone well and where improvements are needed to prevent harm to people e.g. reviewing accident, incident and near miss data, non-compliances etc

Non-compliance

If monitoring indicates that you are not complying with agreed processes, we will take action to address those non-compliances. The action will be proportionate to the risk and will include:

- our DCC contract manager discussing the issues with your senior staff / supervisor on site to identify any immediate corrective actions to prevent harm
- Depending on the severity of the non-compliance, and appropriate to the risk communication of required actions and timeframes to be completed may take the form of:
 - a follow-up email sent;
 - a Notice to Contractor (NTC) may be issued;
 - formal investigation carried out with requirement to rectify outstanding issues; or
 - we may arrange for a safety audit to be completed by our DCC Health and Safety team or an appropriate third party investigator
- Records of any non-compliances, audits and actions taken to rectify the issue will be held on DCC files.

You will need to provide details of the corrective actions you will take and when they will be completed as well as evidence of completion.

Where we feel there may be imminent risk of serious harm or you fail to remedy identified safety breaches, consideration will be given to issuing a stop work notice and a Notice to Contractor (NTC), suspending the contract/ or part of the contract depending on the work involved. We will:

- Issue a verbal instruction (followed by email or letter) to you advising the specific issues which require immediate attention, and that an instruction will be given to shut the site if the issues are not resolved within the specified timeframe.
- Remain on site until the issue is resolved or the site shut down
- Keep a record of all actions taken

You will not be allowed to resume any work until such time as all safety concerns have been remedied and a site safety meeting has been held with the DCC health and safety manager, the DCC contract manager and you.

Right to cease or refuse to carry out unsafe work

The right to refuse to carry out unsafe work is a legal right of all workers. If you or one of your workers notices something wrong or unsafe: STOP WORK and ensure controls are in place to prevent harm. If you cannot safely correct the unsafe condition, inform your DCC contract manager.

Post Contract Evaluation

On completion of the contract, a post contract evaluation will be undertaken by the DCC contract manager in charge of the project. The purpose of this evaluation is to establish how well you performed in relation to health and safety standards and KPIs set for the project.

This review will take into account:

- contractor monitoring records from throughout the project
- events that have occurred relating to the project including investigation and subsequent actions
- any health, safety and environmental issues that arose during the work and how you responded
- adherence to the agreed health and safety plan including any subsequent reviews of this plan

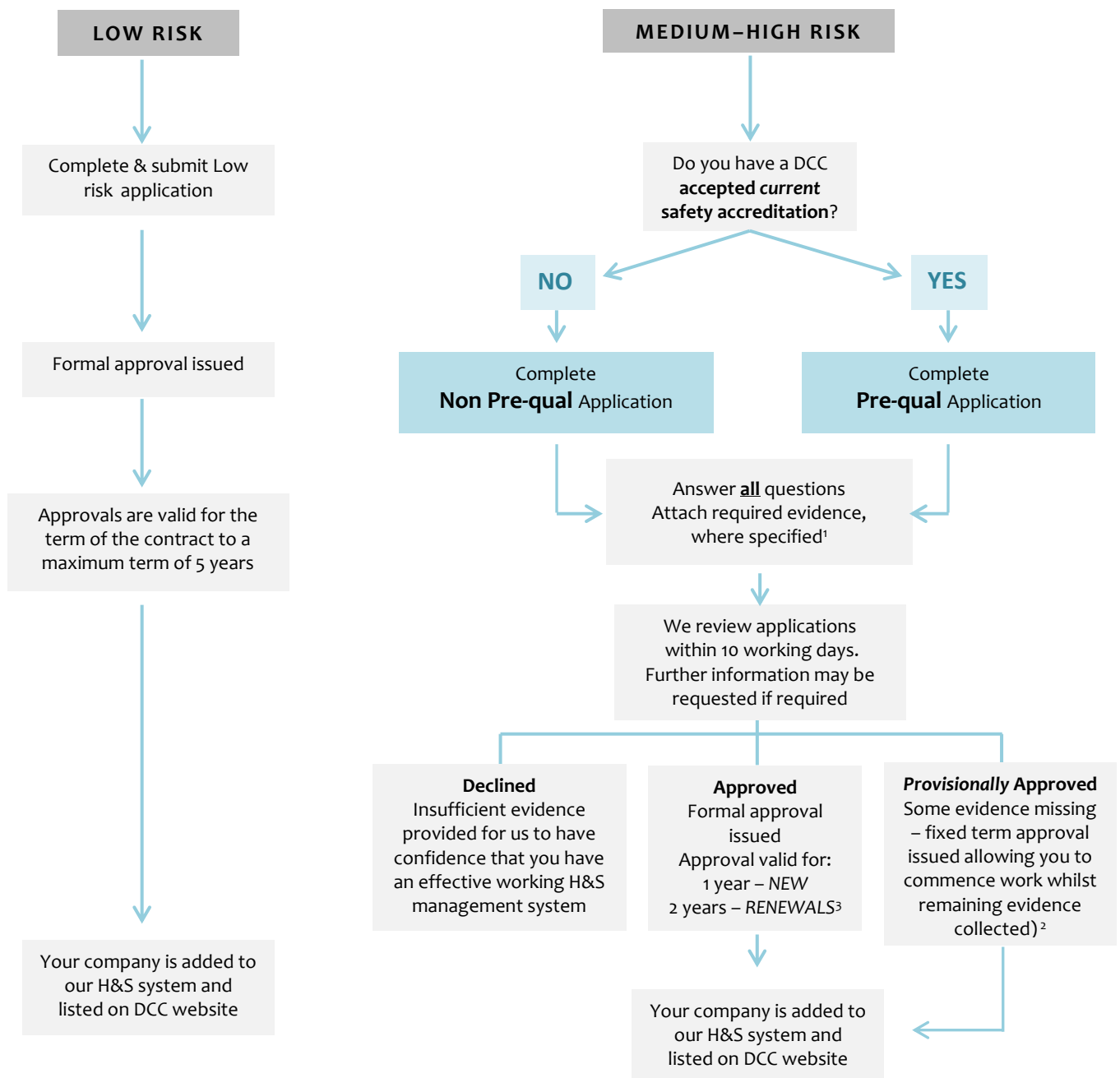
In the case of long term maintenance contracts, regular monitoring reviews will be undertaken as well as regular reviews of the health and safety plan.

Key Definitions and Terms

Contractor	A person engaged to do work for gain or reward (other than an employee). For the purpose of this booklet, the contractor is engaged by DCC. Contractors are also a PCBU.
Contract Manager	A DCC employee authorised to engage, manage, and/or instruct the services on behalf of DCC. A contractor may have more than one Contract Manager they engage with if they work across multiple DCC business units
DCC	Dunedin City Council
Designers	WorkSafe describes a 'designer' as 'any person who prepares or modifies a design, or arranges for or instructs a person under their control to do so. Examples of designers could include, but are not limited to, architects, industrial designers, engineers and software designers'
Event	An event includes a situation where an injury, incident or near miss has occurred
HSWA	Health and Safety at Work Act 2015
JSA	Job Safety Analysis (JSA) A form* that tangibly identifies the things you will do to reduce the level of risk arising from hazards identified. A JSA provides hazard control measures prior to work commencing that can't be performed using a Take 5
Permit to Work (PTW)	A form that shows a worker has permission to perform a particular job, and that stipulates the conditions the worker must comply with to perform the job safely. The Permit to Work is always accompanied by a Job Safety Analysis (JSA). The purpose of the permit is to ensure all required documentation has been supplied and subsequent hazard mitigation has been implemented as directed by the documentation. It confirms any hazards related to the task have been identified and controls have been put in place to reduce the risk of harm.
Person Conducting Business or Undertaking (PCBU)	Your business/organisation is a 'person conducting a business or undertaking' or 'PCBU'. Most New Zealand businesses, whether large corporates, sole traders, or self-employed are considered PCBUs.
Primary duty of care	The primary duty of care means that a business has the primary responsibility for the health and safety of workers and others influenced by its work. All businesses must ensure, so far as is reasonably practicable, the health and safety of: its workers. any other workers who are influenced or directed by the business

Site-Specific Safety Plan (SSSP)	A SSSP is a document that sets out the health and safety requirements for a specific project or worksite. The SSSP requirements aim to help protect site personnel, visitors and the general public from potential exposure to health and safety risks that result from the work activities at the site.
Subcontractor	A person engaged by a contractor to do work gain or reward. Subcontractors are also a PCBU
Worker	All employees are considered 'workers' under HSWA. This includes but is not limited to: all employees, employees of contractors and subcontractors, any labour hires, students or others on work experience. Even volunteers who work for you on a regular permanent basis will now be known as workers

Appendix A DCC Application Process



Appendix B Event Reporting – What, When and How

Level	Event Severity	Reporting Timeframes	Notify DCC Contract Manager via
Negligible	- No treatment required; or - Actual minor first aid injury; and - Minor or No significant potential learnings - Financial impact <\$50K	Once a month	Monthly report
Low	- Minor or potential first aid injury/illness - Financial impact 50K-\$250K	Within 3 working days	- Via Email; and - Monthly report
Moderate	<i>Actual or Potential:</i> - Medical Treatment Injury or Illness (MTI) - Lost Time Injury or Illness(LTI) - Financial impact \$250K-\$1M	Within 24 hours	Phone call and/or Email
		Within 48 hours	Incident report
High	<i>Actual or Potential:</i> - serious injury or illness (hospitalisation, Notifiable event) - Financial impact \$1M-\$10M - Reputational risk attracting local media coverage	ASAP Within one hour	Phone call within one hour
		Within 48 hours	Follow-up email with more detail
		Within 7 days	- Incident report within 7 days - Reference # of Worksafe notification
		Once completed	Full investigation report when completed
Extreme	<i>Actual or Potential:</i> - fatality / Notifiable event - Financial impact >10M - Reputational risk attracting national media coverage	ASAP Within one hour	Phone call within one hour
		Within 48 hours	Follow-up email with more detail
		Within 7 days	- Incident report within 7 days - Reference # of Worksafe notification
		Once completed	Full investigation report when completed