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PREQUALIFICATION GUIDE | CLASS 1

Version 0.1 | Issued June 2020

Review Due: June 2022

For each Class 1 Contractor Prequalification, the questions below should be included in the tender/prequalification process. The guidance provided in the right-hand column is for those who are reviewing the responses to determine whether the evidence or comment provided is sufficient.

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| **Section** | **Questions for Contractor** | **Guidance to Reviewer** |
| **Commitment & Participation** | Do you have a Health & Safety Policy?  If yes, please attach evidence | The contractor should attach a copy of their current Health and Safety Policy. This should outline their commitment, key accountabilities and expectations, and should be signed by an appropriate senior person within the organisation. The policy should preferably be less than 3 years old to show that it is regularly reviewed. |
| How are your staff involved in H&S? | The contractor should make note of several ways in which their staff can be involved in H&S. This might include H&S committees, involvement at meetings, or any other participation programmes that the contractor runs. |
| Is H&S an agenda item at senior management or business meetings?  If yes, please attach evidence | Evidence that H&S is on senior management meeting agenda, or minutes from these meetings that shows that H&S has been discussed. |
| **Subcontractor Management** | Do you carry out performance reviews of your contractors that examines H&S performance?  If yes, please attach evidence | Contractor should show examples of performance reviews of their own subcontractors which takes into account H&S. This could be in the form of review documents, meeting minutes or notes. |
| Do you have a subcontractor induction programme for H&S?  If yes, please attach evidence | The contractor should show evidence of inductions that cover H&S for all contractors and subcontractors. |
| Do you have a procedure for setting minimum H&S standards of performance requirements for your contractors?  If yes, please attach evidence | The contractor should be able to provide a procedure document that details what H&S standards are required of their contractors, |
| Do you have a procedure for the prequalification of subcontractors?  If yes, please attach evidence | Contractor should provide evidence of a procedure. This may be a document that shows how they prequalify subcontractors, or evidence of this in practice. |
| Do you have a procedure or process for conducting regular audits of your contractors H&S systems and processes?  If yes, please attach evidence | Copy of procedure and evidence that this task is completed. For example, completed audit forms from previous jobs, minutes from meetings. Where there is no documentary evidence of previous use, then the Contractor should be able to show how they have or would apply this process. May be verified via reference checking |
| How do you provide assurance that your staff and subcontractors are completing work safely? | The contractor must be able to articulate how they assure themselves that the tasks contracted for are being completed safely. This may involve site walks, inspections, audits or otherwise. This may be verified via reference checking. |
| Do you have a procedure or process to ensure that workers and subcontractors have regular prestart meetings or toolbox meetings?  If yes, please attach evidence | Evidence of a procedure in place to ensure that regular meetings for planning, learning and preparing are taking place. |
| Do you have a procedure that requires workers or subcontractors engaged by you to develop a Safe Work Method Statement or Job Safety Analysis or similar?  If yes, please attach evidence | Evidence should be copy of procedure and at least one SWM Statement or JSA that covers the key work contractor/subcontractors would do. Would accept evidence that documents key risks/hazards for this type of work and how they control them. May be referred to by a different name, but should fulfil the role of a JSA or SWMS. |
| Do you set Key Performance Indicators for your subcontractors?  If yes, please attach evidence | Contractor should provide evidence of KPI’s being set for contractors that cover H&S. This may include reporting accuracy, incident rates, inspections or any other KPI that is relevant. Preference should be for lead indicators which measure control implementation. |
| **Incident Management** | Do you have an incident reporting and investigation procedure?  If yes, please attach evidence | Evidence is a procedure or process that is place that adequately describes how incidents will be reported and investigated. |
| Do you have nominated incident investigators?  If yes, please attach evidence | Contractor should be able to provide details of those persons, or roles, who will investigate, or lead investigations into incidents. |
| Are your incident investigators formally trained?  If yes, please attach details | The contractor should be able to provide evidence that their nominated incident investigators have had formal training in investigative techniques. |
| **Responsibilities** | Are H&S accountabilities and responsibilities allocated throughout management roles within your organisation?  If yes, please attach evidence | Contractor to provide evidence of H&S responsibilities that have been assigned to management roles, this may include Position Descriptions, Responsibility Statements or similar. |
| Are H&S accountabilities and responsibilities regularly reviewed against performance for managers?  If yes, please attach evidence | Evidence required that performance reviews are conducted that show that managers are meeting their responsibilities and accountabilities. This may be part of a wider performance review or a specific review of H&S accountabilities. |
| Who is responsible for H&S for the project or contract? | The contractor should identify who within their organisation can represent the contractor on H&S issues, and will be the primary point of contact for H&S for the duration of the services. |
| Who provides your company with H&S support and advice? (internal or external) | The contractor should identify who provides them with H&S advice. This may be a H&S advisor or manager, or an external consultant. This person should be appropriately qualified and competent in H&S management practices, and preferably have H&S as a primary role. |
| **Safe Work** | Do you have a permit to work system that you will use on sites that you are in control of?  If yes, please attach evidence | It is expected that contractors will work under the Massey PTW systems while in areas under our control, however if work is being undertaken in a ring-fenced area outside Massey University control, then a similar standard of control should be in place. |
| Do you have a procedure for carrying out health monitoring of personnel exposed to workplace health hazards?  If yes, please attach evidence | Where workers are exposed to health hazards (such as noise, chemicals or asbestos), the contractor should show evidence of a procedure which requires their exposed workers to have their health monitored. A procedure will suffice as evidence, as would evidence of this monitoring in action. |
| Do you have a procedure for conducting regular H&S inspections of the work areas that you control?  If yes, please attach evidence | Contractor should provide evidence that they regularly inspect work areas for H&S issues. Evidence would be the procedure, or examples of completed inspection checklists or similar. |
| Do you have a procedure for conducting regular reviews of effectiveness of site specific safety plans for work or projects that you control?  If yes, please attach evidence | The contractor should regularly review how effective their site-specific safety plans are at managing risk, and preventing injury. Evidence of this requirement would be a procedure, or examples of where safety plans have been reviewed and updated to ensure their effectiveness |
| What is your procedure for managing hazardous substances? | Contractor needs to articulate how hazardous substances and chemicals are managed onsite. This may be in the form of having a procedure for their management, or through registers, MSDS, PPE, Spill and Emergency Response plans etc. |
| Where applicable, do you have a procedure for managing the commissioning of new plant and or equipment on a client’s site?  If yes, please attach evidence | If the contractor will be installing and commissioning new plant or equipment onsite, they should be able to show a procedure for how this will be managed safely to prevent uncontrolled release of energy. This may include a procedure document, use of the manufacturer’s installation guides and technicians or previous commissioning plans which show how the safety aspects of commissioning will be managed. |
| Do you have a procedure for ensuring the hierarchy of controls are applied appropriately for operation of plant, equipment and tasks? | Can contractors demonstrate they are applying the right level of controls, such as using guarding, extraction ventilation and PPE jointly, instead of just requiring the use of PPE. |
| Do you have a procedure for providing and maintaining personal protective equipment (PPE) to your employees?  If yes, please attach evidence | If contractors are required to wear PPE to prevent harm, then the contractor should provide evidence of how this will be chosen, and what the process is for issuing, inspecting and maintaining that PPE. |
| Do you have a procedure for the identification, assessment and control of hazards and risks that you deal with?  If yes, please attach evidence | The contractor should be able to provide a procedure for risk management that details the steps that they will take to identify, assess and control all risks. This will detail not only how hazard/risk registers are created, but how these are managed as part of a JSA/SWMS etc. |
| Do you have a procedure for the maintenance, testing, and or calibration of equipment, including lifting equipment, safety equipment, test equipment and tools?  If yes, please attach evidence | Evidence is required that shows how the contractor ensures that their equipment is regularly maintained, tested and calibrated where this is required. |
| Do you have a procedure to keep your mobile plant (e.g. forklifts, scissor lifts etc) and motorised vehicles (e.g. cars, motorbikes, utes, vans etc) safe and fit for use? This includes plant/vehicles borrowed or hired  If yes, please attach evidence | Evidence is required that shows how the contractor ensures that their mobile plant is regularly maintained, and inspected. |
| Do you have a procedure to review work instructions, procedures or safety instructions?  If yes, please attach evidence | Contractor should provide a procedure that shows how work instructions, procedures or safety instructions are regularly reviewed and improvements made. |
| Do you have a procedure(s) for managing the isolation (lockout-tagout) of live energy sources e.g. electrical equipment, moving machinery, hydraulics, live process lines etc?  If yes, please attach evidence | It is expected that contractors will work under Massey University systems for Isolation, Lockout and Tagout when in areas under our control; however where contractors are doing work on a site that is under their control, evidence of these procedures is required to ensure that contractors will be undertaking this work in a safe manner. |
| Do you produce written work instructions, procedures, or specific safety instructions for the work you do in your own operations?  If yes, please attach evidence | Evidence should be a procedure for development of these documents, or examples of these instructions that are relevant to the job that the contractor is to be engaged for. |
| **Systems** | Does your company hold current accreditation to for safety systems such as AS/NZS4801 AS/NZS ISO45001 or similar?  If yes, please attach evidence | This is not a compulsory requirement for prequalification, however adds weight to the application. If the contractor holds accreditation, then a copy of the certificate should be provided. ACC accreditation is not accepted as part of this question. |
| Have you had a 3rd party audit of your safety system and if so please provide copy of most recent audit?  If yes, please attach evidence | This is not a compulsory requirement for prequalification, however adds weight to the application. If the contractor has had a 3rd party audit, such as ACC or an AS4801 or ISO audit, then evidence of this audit should be provided. Preferably this would be a copy of the latest audit report. |
| Is your company’s H&S performance formally and regularly monitored by senior management?  If yes, please attach evidence | Contractor to provide evidence of senior management involvement in any review of their H&S performance. Examples of evidence may be meeting minutes, review notes, observation audits or evidence of what was discussed during these reviews. |
| **Training** | Do you have a procedure or process for managing training or competency refresher requirements and ensuring that licences, registrations or certifications remain current?  If yes, please attach evidence | The contractor must show a process that determines how often training or competency refreshers are undertaken, and how all licences, registrations or certifications remain current for the duration of the work. |
| Do you have an employee H&S induction programme?  If yes, please attach evidence | Contractor should show evidence of a programme that effectively inducts their own staff. |
| Do you have workers trained in the provision of First Aid?  If yes, please attach evidence | Contractors should have access to trained first aid personnel for the duration of their work. This will preferably be met by the contractors own staff, however if alternative arrangements have been made for the provision of first aid, then the contractor should be able to articulate how this will be provided, and how they are providing assurance that they have sufficient coverage for the type of work, and number of staff working onsite. |
| What safety or job related training do you provide your employees? | Contractor should make comment on what job-specific or safety specific training is provided to employees, and how this has been met. Evidence of required training (such as Confined Space entry) should be provided where this is applicable to the tasks being undertaken for Massey University. |
| **Legal** | Do you have current public liability insurance?  If yes, please attach evidence | It is a Massey University requirement that all contractors have current public liability insurance. The amount of this insurance should be $XX million unless this is not appropriate to the level of risk, however shall not be less than $X Million. The contractor is expected to provide evidence of this insurance, and will be required to maintain this insurance at all times. |
| Do you provide professional Services to Massey University? If yes do you have current professional indemnity insurance?  If yes, please attach evidence | It is a Massey University requirement that all contractors providing professional services have current professional indemnity insurance. The amount of this insurance should be $XX million unless this is not appropriate to the level of risk, however shall not be less than $X Million. The contractor is expected to provide evidence of this insurance, and will be required to maintain this insurance at all times. |
| **References** | Please provide the contact details of appropriate trade references, including a minimum of 1 reference external to Massey University.  1.  2.  3. | Contractor to provide the contact details of at least three trade references, which will include a minimum of 1 reference that is external to Massey University. These references will be asked to provide commentary on H&S performance and systems to verify the evidence provided in this prequalification.  These references should reflect the type of work that is going to be undertaken for Massey, and be for work that has taken place in the past 2 years. |