

# WHSP009 – Contractor Management – Base building Retail

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## Contents

<b>1. Purpose</b>	<b>3</b>
<b>2. Scope</b>	<b>3</b>
<b>3. References</b>	<b>3</b>
<b>4. Definitions</b>	<b>3</b>
<b>5. Responsibilities – RACI</b>	<b>4</b>
<b>6. Overview</b>	<b>4</b>
<b>7. Selection and Prequalification</b>	<b>5</b>
7.1 Selection.....	5
7.2 Prequalification.....	6
7.3 Prequalification of High Risk and Risk Contractors .....	6
7.4 Insurance requirements .....	6
7.5 Licences and construction induction card .....	6
7.6 Safe Work Method Statements (SWMS) .....	7
<b>8. Contractor Consultation, Coordination &amp; Cooperation</b>	<b>7</b>
8.1 Induction / onboarding.....	7
8.2 Pre commencement .....	7
<b>9. Safe Work Method Statements (SWMS)</b>	<b>8</b>
<b>10. High Risk Pre-start</b>	<b>8</b>
<b>11. Tenant Contractors</b>	<b>8</b>
<b>12. Capital Works / Major Projects</b>	<b>8</b>
<b>13. Contractor Site Attendance</b>	<b>9</b>
<b>14. Communication and Consultation</b>	<b>9</b>
<b>15. Monitoring Contractor Performance</b>	<b>9</b>
15.1 Contractor “Monitoring” Inspections .....	9
15.2 Undertaking Random Inspections .....	9
15.3 Contractor Non-Conformances .....	10
<b>16. Incident Reporting &amp; Investigation</b>	<b>10</b>
<b>17. Compliance and Review</b>	<b>10</b>
<b>18. Records</b>	<b>10</b>
<b>19. Training</b>	<b>10</b>
<b>20. Related Documents</b>	<b>10</b>
<b>21. Forms and Permits</b>	<b>10</b>
<b>22. Workflow</b>	<b>11</b>
<b>Appendix 2 Contractor Management Framework</b>	<b>12</b>
<b>Appendix 2 Examples of High Risk Activities</b>	<b>13</b>

## 1. Purpose

The purpose of this procedure is to –

- 1.1 Provide a reasonable steps approach to the management of contractors engaged to perform work or services within the AMPC Retail portfolio.
- 1.2 Meet regulatory obligations with regard to WHS and the management of contractors;
- 1.3 Meet the requirements outlined in the AMPC RE Workplace Health and Safety Policy and Health and Safety Management Plan.

## 2. Scope

This procedure applies to all AMPC managed properties where AMPC is deemed to be controller of premise or is a Person Conducting Business or Undertaking (PCBU) under work health and safety laws.

Contractor Management covered by this procedure include;

- Routine service providers, repairs and maintenance.

## 3. References

- 1) Work Health and Safety Acts
- 2) AS/NZS ISO 31000 Australian & New Zealand Standards
- 3) Work Health and Safety Consultation, Cooperation and Coordination Code of Practice.
- 4) Construction Work, Code of Practice
- 5) WHSP004 Legislation Register and Health & Safety Definitions

## 4. Definitions

The following definitions are specific to this procedure and do not represent an exhaustive glossary. For further clarification with reference to a glossary of Health Safety terms refer to [WHS004 Legislation Register and Health and Safety Definitions](#).

Competent Person	A person who has acquired through training, qualification or experience the knowledge, skills and licenses to carry out specific tasks.
AMPC Representative	A person who is either employed directly by AMP Capital or is an approved representative e.g. Security and facilities personnel for the purpose of approving a WHS form.
Construction Work	Construction work is defined 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.
Fit-out Guide	AMPC document used to standardise the approach to fit-outs undertaken in any AMPC managed asset. The guide sets out the responsibilities of the tenant and their contractors and how the fit-out must comply with AMPC's requirements.
High Risk Licences	A High-Risk Work Licence is a photographic licence, issued to persons who have been trained and assessed as competent to work in a class of work defined as high-risk work. The licence is valid for 5 years.
High Risk Work	High Risk construction work is defined within WHS Regulations within the related jurisdiction and details a list of approx. 18 high risk activities that additionally require a Safe Work Method Statement.
Contractor Licences	Contractor licences and qualifications refer specific trades including but not limited to; plumbing, electrical, working at heights, height safety, emergency rescue, confined space entry, builders' licenses etc.
Site Guidelines	Site specific information defining practices to be followed by tenants, contractors and subcontractors.

<b>Principal Contractor</b>	A person who is formally appointed to manage, coordinate and implement the WHS Management Plan. The Principal Contractor is generally considered to be the PCBU with regards to the specific work area. A Principal Contractor must be appointed for all construction works exceeding \$250,000. In Victoria, Principal Contractor is defined as a Head Contractor. In Western Australia, Principal Contractor is defined as Main Contractor
<b>High Risk Contractors</b>	Contractors that are selected to perform work within Retail and are deemed to present risks to health and safety will be classified as High Risk Work (refer to table in 7.1) must meet specific requirements for managing health and safety by their work type.
<b>WHS Management Plan</b>	A plan that sets out arrangements to manage work, health and safety on a site with regard to a project or construction works.

## 5. Responsibilities – RACI

The following RACI chart is a simple matrix that has been applied specifically to this procedure for the management of contractors within Retail shopping centres. The purpose is for mapping out roles that have some interaction with contractors by operational function and to what level.

**Responsible** – People or stakeholders who ensure the requirements of this procedure are complied with. Several people can be jointly *Responsible*.

**Accountable** – Person or stakeholder who is the "owner" of the practical management and requirements outlined. *Accountable*, means that "the buck stops there."

**Consulted** – People or stakeholders who need to provide input. These people are "in the loop" and active participants.

**Informed** – Safety is everyones business, these are people or stakeholders who need to be kept "in the picture." They do not need to be formally consulted.

Position	Responsible	Accountable	Consulted	Informed
Centre Manager	Yes	Yes		Yes
Operations	Yes	Yes	Yes	Yes
Capital Works	Yes	Yes	Yes	Yes
Tenancy Delivery	Yes	Yes		Yes
Casual Leasing	Yes	Yes		Yes
Marketing	Yes	Yes		Yes
WHS	Yes		Yes	



## 6. Overview

One of the greatest risks to health and safety within Retail centre management is that not created by the work of our employees, but rather that created by the work of Contractors performing works or services within our properties.

Under the WHS Acts, AMPC Retail, as a Person Conducting a Business or Undertaking (PCBU) will owe a broad duty of care in relation to contractors who are engaged to conduct work as part of property management services. In meeting this duty, the purpose of this procedure is to provide reasonably practicable approach to Contractor Management.

AMPC is committed to ensuring that its operations are conducted in a manner which safeguards the health, safety and wellbeing of all our stakeholders including employees, tenants, contractors, customers and members of the public who are present at or affected by our assets.

## 7. Selection and Prequalification

### 7.1 Selection

All contractors selected to undertake works or services within the Retail portfolio must undertake the prequalification process. Selecting a contractor is the initial phase that looks at the contractor as a whole with regard to qualification, compliance, capability and values that align with AMPC.

When selecting a contractor, a risk based approach must be applied “in context” with consideration to:

- The scope and cost of the work being undertaken.
- Type of work with regard to an assessment of risk activities.
- Capability and scale of the contractor to demonstrate and meet safe work requirements.
- Experience and knowledge.

Contractors that are selected to perform work within Retail and through the nature of the work are deemed to present risks to health and safety will be classified as a High Risk Contractor and must meet specific requirements for ensuring health and safety by their work type.

The following table provides examples of types of risk contractors and works within Retail:

	Example Contractor Type	Examples of high-risk works
<b>High Risk Work</b>	Air Conditioning Maintenance Electrical works Plumbers Builder Lift and Escalator Auto doors Line Marking Car Park Surfacing Gardening Painting Glazing Window Cleaning Waste Removal	<ul style="list-style-type: none"> <li>• Construction works</li> <li>• Demolition of an element that is load bearing,</li> <li>• Structural alterations requiring temporary support,</li> <li>• Any work involving asbestos material</li> <li>• Any abnormal works outside general facilities management</li> <li>• Any works at height</li> <li>• Works within a confined space</li> <li>• Hot works or fire impairments</li> <li>• Maintenance works</li> <li>• Installation works</li> <li>• Mechanical</li> <li>• Artificial extremes of temperature,</li> <li>• Work adjacent to a road,</li> <li>• Work on chemical, fuel or refrigerant lines,</li> <li>• Work on energised electrical installations, or work on or near energised electrical equipment,</li> <li>• Work on or near pressurised gas piping/mains, and</li> <li>• High voltage electrical work.</li> </ul> <p><i>(Refer to Appendix 2)</i></p>
<b>Low Risk</b>	Stationary suppliers Marketing suppliers Consultants	<ul style="list-style-type: none"> <li>• Supplier only, does not perform any works on site.</li> </ul>

7.1.1 The responsible AMPC Representative must ensure that the selection of the contractor using a risk-based assessment in health, safety and environment in alignment with AMPC values.

Contractor engagement must be in accordance with the Real Estate [Procurement Guidelines](#).

## 7.2 Prequalification

Contractor Management is one of the highest orders of priority for AMPC. As an extension, the online induction platform a contractor pre-qualification process is managed online and includes an assessment of a contractor's insurances and indemnities, licenses, and induction training as well as monitoring of critical documents and notification of pending expiry.

Contractor Prequalification assesses a contractor's health and safety management system and capabilities providing a detailed understanding of contractors work health and safety competencies before they commence work.

The AMPC Representative must provide the Prequalification details to the contractor who will be registered within the Contractor Prequalification System, the contractor will then be required to submit online their risk-based compliance documentation including; Insurances, WHS Plan and Safe Work Method Statements. (See 7.4 Insurance requirements).

## 7.3 Prequalification of High Risk and Risk Contractors

- 7.3.1 Contractors who are selected to undertake routine work or services as a preferred supplier must be risk assessed. Each Retail centre must develop an "Overlay" of their preferred contractor base of primary contractors undertaking essential property works (see [WHS009D Preferred Supplier List](#)).
- 7.3.2 The Operations Manager in consultation with the Regional Operations Manager Retail, must assess the risk and number of contractors. On agreement this must form the centre specific contractor base.
- 7.3.3 AMPC Operations Manager must develop and maintain a contractor base using the [WHS009D Preferred Supplier List](#) and consult with the Regional Operations Manager Retail.

## 7.4 Insurance requirements

Contractors performing works on any AMPC managed asset must ensure all required insurance information is provided prior to commencing work, this includes tenants requiring access to base building areas.

- Public liability insurance: \$20 million (minimum)
- Workers compensation: Statutory
- Personal Accident, Illness & Income Protection Insurance (Sole Traders and Partnerships only)
- Professional Indemnity Insurance (e.g. for consulting services only)

*Note. Where \$20 million PL Policy is not available, the Operations Manager must obtain approval from AMP Group Insurance at [insurance@amp.com.au](mailto:insurance@amp.com.au).*

**Acceptance of any amount below \$20 million is prohibited without pre-approval.**

## 7.5 Licences and construction induction card

All specialist trades, risk contractors must upload copies of their licenses into the online contractor management system for verification.

Licence's include (but are not limited to):

- Trade Licenses or Certificates,
- High Risk Work Licenses,
- Construction Induction (White) cards

The AMPC Representative must sight copies of contractor licenses prior to high risk works with the details of licenses on the permit to work. ([WHSP029 Permit to Work](#)).

Licences are required to be uploaded into the contractor induction system with the expiry dates set. Contractors with expired licences must not perform works until updated information is compliant.

## 7.6 Safe Work Method Statements (SWMS)

A SWMS is a document is a declaration by a contractor that states and sets out how they will undertake the work activities safely, by identifying the hazards arising from these activities and the measures to be put in place to control the risks.

7.6.1 SWMS are required to be submitted by the contractor into the Contractor Management system.

7.6.2 SWMS are required for all preferred contractors assessed as undertaking high risk works. (See 8.2 Pre-commencement)

## 8. Contractor Consultation, Coordination & Cooperation

“The objective of consultation is to make sure everyone associated with the work has a shared understanding of what the risks are, which workers are affected and how the risks will be controlled. The exchange of information will allow the duty holders to work together to plan and manage health and safety”.

### 8.1 Induction / onboarding

On successful completion and approval within the online prequalification system, the contractor shall receive an invitation to register and undertake a “two part” Induction: an online AMP Capital induction and a centre specific induction.

The responsible AMPC representative must issue the contractor with details to register through PAC which will then link them into the contractor prequalification system. Further to this, the contractor will issue licences to complete the online induction and the Centre specific AMPC induction information including:

- WHS009A – AMPC Site Specific Induction
- WHS009B – Site Guidelines
- Property specific risk information (Property Risk Register)
- Property specific hazard registers including but not limited to:
  - Confined space registers.
  - HAZMAT registers.
  - HAZARD registers and information
- Emergency & Evacuation information, and
- Relevant drawings and information required to perform the works.

Contractor employees must review the Centre induction information via induction system (AMPC online induction video and site specific induction).

### 8.2 Pre commencement

8.2.1 Prior to the commencement of work, ensure contractors are issued with a valid work order request, and all relevant site-specific documentation.

8.2.2 For Base building contractors classified as a “High Risk” a formal consultation meeting using the [WHS009F Base-Build Contractor Pre-commencement Meeting Template](#) must be completed in the following ways:

- I. Where the contractor is new and unfamiliar to the Centre (i.e. awarded MSA contract replacing the incumbent).
- II. Where the work is non routine and complex in its nature requiring specific consultation and coordination.
- III. When a contractor has had work suspended and are required to re undertake the prequalification process.

## 9. Safe Work Method Statements (SWMS)

Method statements are administrative documents that detail exactly how a contractor will carry out work safely. The purpose of method statements is to describe the safety precautions that will be in place to control risks identified in risk assessments or are an inherent nature relative to the type of work or environment the work will take place.

- 9.1 The AMPC Representative must ensure SWMS are site specific.
- 9.2 SWMS must be supplied for all preferred contractors assessed as undertaking risk works.
- 9.3 The AMPC Representative must review and accept the contractors SWMS using the [WHS009C SWMS Review Checklist](#) prior to works commencing.
- 9.4 The Contractor is to ensure that all relevant workers are inducted/signed into the SWMS prior to the commencement of works.
- 9.5 Where a gap has been identified at prequalification, consultation or at another time, the contractor must amend the SWMS and re-submit to AMPC for review and acceptance.
- 9.6 Contractor SWMS for AMPC works must be reviewed annually.
- 9.7 Where a contractor is performing non-routine high risk work or construction works, the contractor must include a risk assessment and site specific SWMS covering all components of work to be completed.

If the AMPC Representative cannot clearly identify the primary elements in the [WHS009C SWMS Review Checklist](#), the SWMS must be rejected and returned to the contractor to seek more information.

*Note: SWMS are required for all high-risk works (i.e. where a Permit is issued) OR when construction work is being completed. For guidance on high risk or non-routine works contact a member of the Workplace Health & Safety Team or National Operations.*

## 10. High Risk Pre-start

The “High Risk Pre-start” process must be implemented to ensure contractors have been effectively consulted prior to commencement of base-build work where high risks require management to ensure adequate processes and controls have been agreed and implemented.

- 10.1 The [WHS009G High Risk Pre-start](#) template is to be used prior to works commencing and in consultation with the contractor when; complex or non-typical high risk works are to be conducted.
- 10.2 Consultation with the Regional Operations Manager and National WHS Manager must be sought prior to works commencing.

## 11. Tenant Contractors

Where work is being undertaken within a tenancy, the contractor must meet the requirements of the tenant controlled area. Where a tenant contractor requires access to base build areas the contractor must meet the requirements specified under AMPC [WHS009B Site Guidelines](#) document.

Where the work is in relation to fit-out or de-fit of a tenancy, [WHSP046 Guide for Fitout Contractor Works](#) must apply.

## 12. Capital Works / Major Projects

Capital works are defined as building works that include major constructing or upgrading of common/base-build area or within an operational asset. A Principal Contractor and/or external Project Manager may be appointed for these works or may be directly managed by the asset operations team.

Where a Principal Contractor is appointed, a WHS Management Plan must be provided prior to works. Refer to [WHSP045 Capital Works & Project Management](#).

### 13. Contractor Site Attendance

- 13.1 When attending the Centre on the first occasion to undertake work, the contractor must meet with Centre Management Representative to communicate and consult on their understanding of the AMPC induction information, site guidelines, known hazards and the risk register as it relates to their work area/s.
- 13.2 Prior to commencing work, the contractor and their worker(s) must sign in and out of the site via the attendance Kiosk register/system.
- 13.3 Before permitting access and issuing keys, the AMPC Representative must as a minimum check that the contractor has signed into the onsite KIOSK as a compliant contractor. Additionally, as good practice other questions to gain an understanding may include, type of work on the day and permits to work that may be required.

### 14. Communication and Consultation

“The objective of consultation is to ensure everyone associated with the work has a shared understanding of what the risks are, which workers are affected and how the risks will be controlled. The exchange of information will allow the duty holders to work together to plan and manage health and safety”

- 14.1 The Operations Manager must undertake a formal consultation and review meeting annually for all contractors undertaking routine high risk works or services within an AMPC Retail Centres.
- 14.2 Using the [WHS009D Preferred Supplier List](#), list each asset must assess the risk and quality of the contractors engaged to perform works. Contractors identified in this listing must undertake an annual Communication and Consultation meeting which must be minuted using the [WHS009E Contractor Meeting Template](#).
- 14.3 Annually, the National Operations and WHS Team will consult with a high-risk incumbent contractor(s) in relation to performance, incidents, processes, lessons learnt and risk programs where relevant.

### 15. Monitoring Contractor Performance

#### 15.1 Contractor “Monitoring” Inspections

Once selected and prequalified, a reasonable approach to managing contractors is to periodically monitor their work practices in line with the contractors stated methodology (SWMS), Centre guidelines and potential risks arising from their work to others.

Note. AMPC representatives are not required to be subject matter experts; the purpose of the [WHS009H High Risk Works Monitoring Form](#) is to observe that the contractor is working safely in accordance with the site guidelines, induction and well established safe work practices they have provided.

Elements of the Contractor monitoring include;

- Contractor has been inducted and signed in prior to commencement of work.
- Electrical equipment is tagged and tested is current and where relevant RCD protected.
- Housekeeping, barricading and signage is in place.
- Permit to Work has been completed for high risk areas.
- For High Risk works all workers have signed the SWMS.
- Works being undertaken reflect SWMS.

#### 15.2 Undertaking Random Inspections

15.2.1 AMPC representative to undertake an inspection using the [WHS009H High Risk Works Monitoring Form](#) on all risk or high risk contractors undertaking works twice per annum as a minimum standard and/or as per risk assessment.

15.2.2 Contractor Inspections maybe undertaken in the following ways including but not limited to;

- As a part of formal property risk inspections
- An unplanned observation not as part of a property inspection
- After an incident or near miss
- Reports of contractors work or behaviour not meeting required minimum standards

### 15.3 Contractor Non-Conformances

Where a Random Inspection identifies Non-Conformances, all concerns must be immediately rectified. If the issues are not able to be resolved or the work practices are deemed to be unsafe or place others at risk, the Contractor must be refused permission to continue and must cease work.

The AMPC representatives have a number of options in the event of sighting non-conformances:

- Counsel the contractor with regard to centre and safe work requirements.
- Cease work, make safe and remove the contractor from the centre.
- Issue a formal non-conformance notice stating the observations.
- Recommence the permission to work process.
- Terminate the contractor's services.

15.3.1 AMPC Representatives must address identified non-conformances in accordance with this procedure.

15.3.2 AMPC Representatives must issue in writing to the contractor, a non-conformance notice, a copy filed in the contractor's records and recorded in AMPC PAC as an incident.

## 16. Incident Reporting & Investigation

Contractors are required to report all incidents, near misses, work injuries or property damage to an AMPC Representative on the same day as the incident or as they become aware, and in accordance with the Site Guidelines, Induction or Contractual Agreement.

In the event of a serious incident or near miss involving a contractor, the AMPC Representative must notify and escalate the incident [WHS007A Incident Notification & Escalation](#) and seek guidance on the investigation and review process. [WHSP007 Incident Reporting & Investigation](#).

## 17. Compliance and Review

Compliance with this procedure and associated forms, permits and registers will be reviewed as part of the Property Risk Audit program.

## 18. Records

Copies of SWMS and associated permits must be retained as per [WHSP044 Document Management & Control](#).

## 19. Training

Training in this procedure must form part of induction training for role's responsible and/or accountable for this procedure.

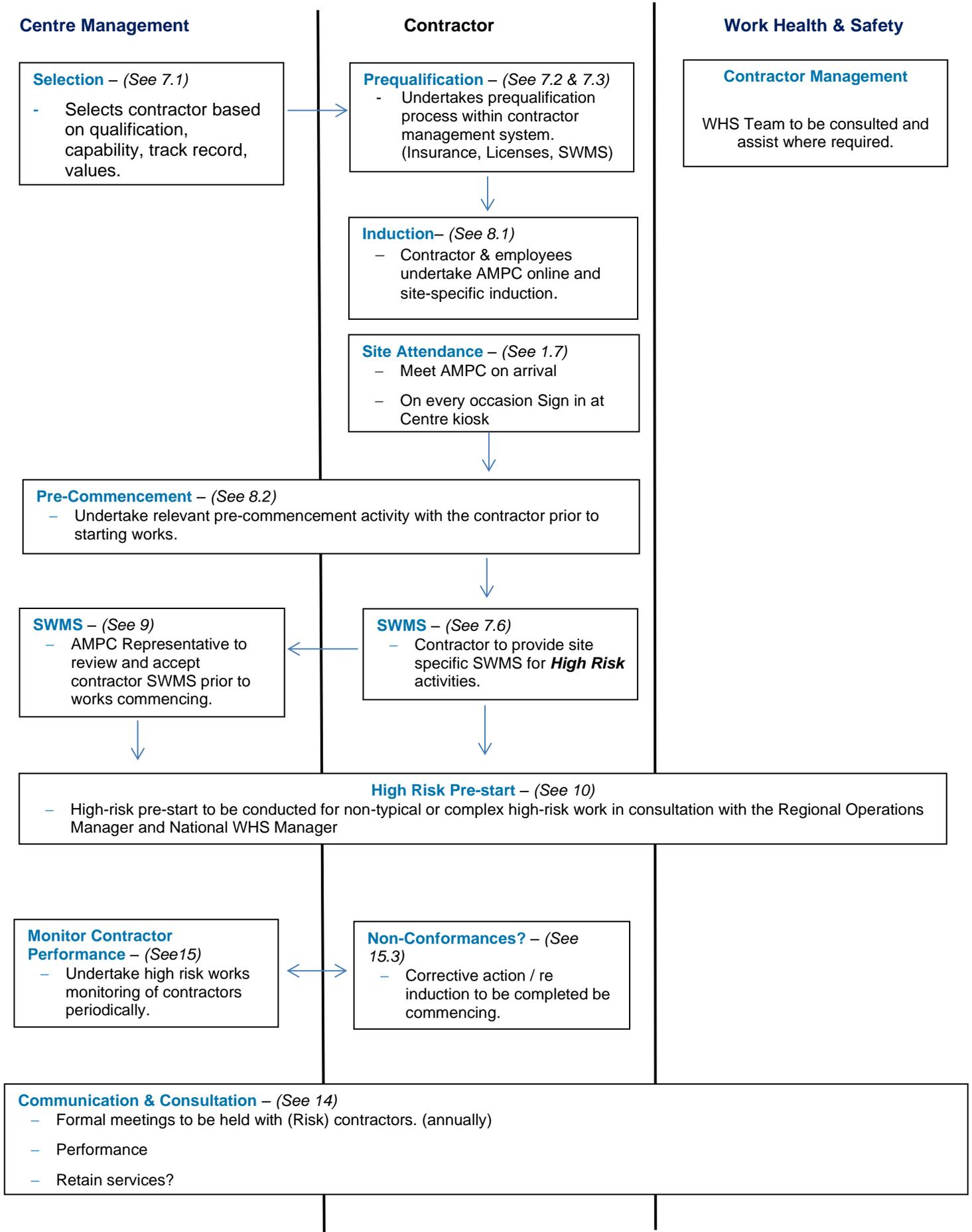
## 20. Related Documents

- WHSP029 – Permit to Work
- WHSP003 – Hazard Identification & Risk Management
- WHSP042 – Audit & Review
- WHSP045 – Capital Works & Project Management
- WHSP046 – Guide for Fitout Contractor Works
- WHSP007 – Incident Management & Investigation
- WHSP044 – Document Management & Control

## 21. Forms and Permits

- WHS009A – Site Induction Template
- WHS009B – Site Guidelines Template
- WHS009C – SWMS Review Checklist
- WHS009D – Preferred Supplier List
- WHS009E – Contractor Meeting Template
- WHS009F – Base-Build Contractor Pre-commencement Meeting Template
- WHS009G – High Risk Pre-start Template
- WHS009H - High Risk Works Monitoring Form
- WHS003A – Property Risk Register Template

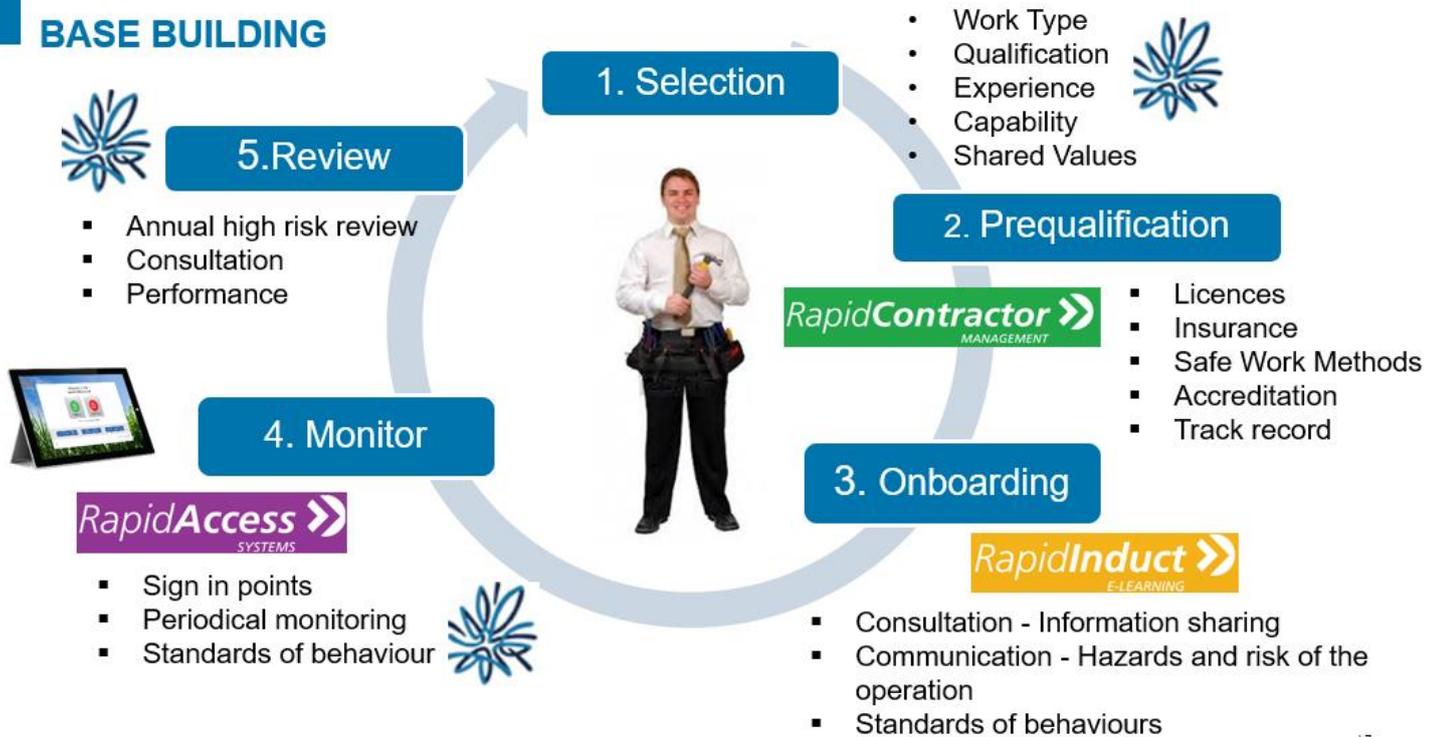
22. Workflow



Appendix 2 Contractor Management Framework

## CONTRACTOR MANAGEMENT – REASONABLE STEPS

### BASE BUILDING



## Appendix 2 Examples of High Risk Activities

- Use of suspended access equipment (e.g. bosun's chairs, cradles, gondolas, swing stages)
- Installation, use and dismantling of Powered Vertical Access Equipment (e.g. Mast Climbers, hoists and building maintenance units – BMU's)
- Metal Frame Erection
- Concrete Formwork Erection
- Cladding and façade work
- Access and work on roofs
- Work within penetrations, risers, shafts and voids (including lift/elevator installation and maintenance) \*
- Structural alterations that require temporary support to prevent collapse
- Working on a telecommunications tower, power pole or other installation
- Erection, use and dismantling of scaffolds (e.g. façade, mobile)
- Any activity (not described above) requiring the use of a fall arrest or fall restraint harness as the primary means of fall protection\*
- Installation, maintenance and commissioning of machinery and/or plant process equipment
- Working in, over or adjacent to a road or railway\*
- Heavy mobile work equipment co-ordination
- Creation, access and maintenance of excavations or tunnels
- Piling, directional boring or drilling
- Working on, or near, a pressurised gas distribution mains and consumer piping
- Creation, access and maintenance of bridges and related structures including the placement of spans and pre/post tensioning\*
- Working in, over or adjacent to water where there is a risk of drowning\*
- Use of heavy plant for civil and ground works (e.g. bobcats, excavators, backhoes, graders, dump trucks, rollers and compactors)
- Tower crane erection, climbing and dismantling\*
- Use of mobile cranes
- Any lifting operations requiring; load slinging, crane management or, lifting over work areas, thoroughfares or public areas
- Works on or adjacent to, energised systems, e.g. electrical, hydraulic, pneumatic (LOTO)\*
- Demolition works\*
- Entry into and work within confined spaces\*
- Work in an area where there are artificial extremes of temperature
- Hot works, including welding and grinding\*
- Working on or near a chemical, fuel or refrigerant line
- Use of explosives\*
- Work requiring strict environmental controls to prevent air, noise, soil or water pollution
- Work involving the use, removal, transport or handling of hazardous materials and any dangerous or highly toxic substances\*
- Any other activities not listed above identified as high risk due to the potential to harm workers, the public, property or the environment