

## SELF-ASSESSMENT CHECKLIST

### HOW TO MANAGE AND MONITOR YOUR CONTRACTORS

There are several stages, which can be crucial in the establishment and implementation of a successful and effective end-to-end contractor management framework.

A sample framework may incorporate the following stages and considerations:

✓ x

Procurement – Questions to Ask Yourself	Yes / No
1. Have you identified and defined a clear scope of work?	<input type="checkbox"/> <input type="checkbox"/>
2. Have you conducted a risk assessment to identify scope of work and any specialist skills, knowledge and expertise required?	<input type="checkbox"/> <input type="checkbox"/>
3. Do you have clear pre-selection criterion, inclusive of minimum health, safety and environmental (HSE) requirements?	<input type="checkbox"/> <input type="checkbox"/>
4. Have you identified the type and level of insurance, licenses and training required?	<input type="checkbox"/> <input type="checkbox"/>
5. Does your tender document or procurement process specify minimum pre-selection criteria (e.g. a score rating system to execute a fair and just evaluation process)?	<input type="checkbox"/> <input type="checkbox"/>
6. Have you considered and established a competent person who is a subject matter expert to evaluate submissions or recommend selection / engagement of contractors (specific to HSE evaluation)?	<input type="checkbox"/> <input type="checkbox"/>

✓ x

Selection & Pre-qualification – Prior to Engagement	Yes / No
1. Do you have a process in place that enables selection and engagement of contractors who align with the business/PCBUs values and safety vision?	<input type="checkbox"/> <input type="checkbox"/>
2. Do persons involved in contractor pre-qualification and selection have the experience and expertise to adequately assess and verify contractor HSE responses / requirements?	<input type="checkbox"/> <input type="checkbox"/>
3. Do you have a pre-qualification or selection process that verifies contractor(s) have the following (reviewed by a competent person, prior to engagement and commencement of works)? <ul style="list-style-type: none"> <li>• Appropriate insurances, licenses, competencies, experience, capabilities, performance?</li> <li>• Demonstrated system to manage and control HSE hazards and risks?</li> <li>• Required project or site safety management plan / documentation?</li> <li>• Any other HSE requirements based on the nature of work and risks identified (e.g. risk assessment methodologies, training / induction arrangements, KPIs, etc.)?</li> </ul>	<input type="checkbox"/> <input type="checkbox"/>
4. Are contractors formally pre-qualified or approved, prior to commencing work?	<input type="checkbox"/> <input type="checkbox"/>
5. Do you have a system or means to record pre-qualified contractors for ease of monitoring and/or future engagement?	<input type="checkbox"/> <input type="checkbox"/>

✓ x

Onboarding and Induction – <i>Prior to commencing work</i>	Yes / No
1. Do you have a contractor onboarding and induction process, inclusive of company and site HSE requirements?	<input type="checkbox"/> <input type="checkbox"/>
2. Is a pre-start or kick-off meeting held to discuss the scope of work and HSE hazards and risks involved?	<input type="checkbox"/> <input type="checkbox"/>
3. Is contractor HSE documentation (safety management plan (for principal contractor), risk assessments / SWMSs, permits, licenses, plans etc.) sighted and verified as current, relevant and adequate to the nature of work / project / site / task to be performed?	<input type="checkbox"/> <input type="checkbox"/>
4. Does the contractor have adequate consultation arrangements and processes in place to verify workers undertaking the task are deemed competent, licenced (where applicable); and trained in the SMP (for PC project) or risk assessment/SWMS relevant to the hazards and risks likely to be encountered?	<input type="checkbox"/> <input type="checkbox"/>

✓ x

Monitoring / Review – <i>Once Engaged</i>	Yes / No
1. Have you determined the level, frequency and type of contractor supervision, monitoring and auditing required?	<input type="checkbox"/> <input type="checkbox"/>
2. Do you have adequate resources and a clear process available and in place for contractor communication, consultation as well as monitoring/review activities?	<input type="checkbox"/> <input type="checkbox"/>
3. Is there provision for issue resolution to ensure all H&S matters are adequately identified, escalated, reviewed, and addressed based on scope of work / contractual requirements?	<input type="checkbox"/> <input type="checkbox"/>
4. Do you have a means of verifying contractor HSE performance as well ongoing currency, adequacy and relevance of contractor HSE systems, processes, and controls?	<input type="checkbox"/> <input type="checkbox"/>
5. Do you ensure issues identified with contractor performance are promptly resolved in a way consistent with your shared responsibility and HSE requirements?	<input type="checkbox"/> <input type="checkbox"/>
6. Are you confident that risk assessments and controls are periodically reviewed and revised, in consultation with all relevant duty holders, particularly after key changes (on site, project stage or milestone)?	<input type="checkbox"/> <input type="checkbox"/>
7. Do you monitor contractor’s HSE performance and is this linked back to your pre-qualification system and/or process?	<input type="checkbox"/> <input type="checkbox"/>

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