



# HEALTH, SAFETY AND WELLBEING REQUIREMENTS

NZS 3910 and 3916 Construction Contracts



## Document Abstract

*This document sets out Watercare's Health, Safety and Wellbeing Requirements for all construction activities delivered under NZS 3910 and NZS 3916 contracts. It defines the minimum standards, management arrangements and performance expectations for Contractors and their subcontractors, ensuring consistent, risk-based and effective health, safety and wellbeing practices across all Watercare projects.*

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## Revision History

Revision No.	Date	Section	Description of Change
0.2	2023		Watercare, Contractor Health, Safety & Wellbeing Expectations
0.3	05.12.2025	All	Full update and reissue of Watercare's Principal Health, Safety and Wellbeing Requirements, replacing previous Contractor HSW Expectations.

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## 1 General

### 1.1 Introduction

- 1.1.1 This General Requirements document forms part of the Principal's Requirements and shall be read in conjunction with its appendices and the other Principal's Requirements documents. Together, these documents establish the minimum requirements for the Contractor's Health, Safety, and Wellbeing (HSW) management system and supporting processes.
- 1.1.2 The Contractor shall comply with this document, the associated appendices, conduct project-specific risk assessments to identify and implement suitable and sufficient controls.

### 1.2 Definitions and Acronyms

- 1.2.1 All the definitions in the General Conditions of Contract NZS 3916:2023 / NZS 3910:2023 and the Special Conditions of Contract shall apply, plus the following:
- a) **OFFICER:** Is a senior person in a business who can significantly influence a business (a sole trader is a PCBU, an Officer and a worker of his own business). Officers must exercise due diligence to make sure that the PCBU complies with its health and safety duties.
  - b) **PCBU:** Refer Table 1.2.2.1 Acronyms.
  - c) **WORKER:** A worker is an individual who carries out work in any capacity for a PCBU (see section 9 HSWA). A worker may be an employee, a contractor or sub-contractor, an employee of a contractor or sub-contractor, an employee of a labour hire company, an apprentice or a trainee, a person gaining work experience or on a work trial, or a volunteer worker. Workers can be at any level (e.g.- managers are workers too), visitors to site are also classified as Workers.
  - d) **WORKPLACE:** A Workplace is defined as:
    - a place where work is being carried out, or is customarily carried out, for a business or undertaking; and
    - includes any place where a worker goes, or is likely to be, while at work
- 1.2.2 The acronyms listed in
- 1.2.3 Table 1.2.2.1 - ACRONYMS
- 1.2.4 .2.2.1 are used herein:

**Table 1.2.2.1 - ACRONYMS**

Acronym	Definition
CHASNZ	Construction Health and Safety NZ
EPMP	Emergency Preparedness and Management Plan
GR	General Requirements
GRWM	General Risk and Workplace Management Regulations (2016)
HSW	Health, Safety and Wellbeing
HSWA	Health and Safety at Work Act (2015)
HSWMP	Contractor's Health, Safety and Wellbeing Management Plan

MOQO	Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations (2016); and subsequent amendments
PCBU	Person Conducting a Business or Undertaking (includes companies, contractors, self-employed sole traders, partnerships and not for profits who employ workers) as defined in s 17 HSWA. All WSL partners are likely to be PCBU's.
PPE	Personal Protective Equipment
PRs	Principal's Requirements
SOR	Safety Observation Report (an Engineer's report to the Contractor)
SRG	Safety Review Group
SSE	Means the person appointed as the Site Senior Executive under the Health and Safety at Work (refer MOQO Regulations 2016)
WSL	Watercare Services Ltd

### 1.3 Relationship to Watercare Standard Documents

1.3.1 These requirements are supplementary to any other related requirements.

### 1.4 List of Applicable Standards, Codes, Guidelines, Regulations

1.4.1 The following Standards, Codes and Guidelines apply.

**Table 1.4.1.1 - Standards, Codes, Guidelines, Regulations**

Reference	Document Title
AS/NZS 2865:2001	Safe Working in a Confined Space
AS 2865:2009	Confined Spaces
AS/NZS ISO 45001:2018	Occupational health and safety management systems - Requirements with guidance for use
BS 6164: 2019	Health and safety in tunnelling in the construction industry – Code of practice
CIMS	Coordinated Incident Management System
HSWA (2015)	Health and Safety at Work Act (2015) - Framework for workplace health and safety in New Zealand.
HSWA(HazSub)	Health and Safety at Work (Hazardous Substances) Regulations (2017) - Regulations regarding the management of hazardous substances
HSWA MOQO (2016)	Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations (2016); and subsequent amendments
PPE	Personal Protective Equipment
WorkSafe NZ	WorkSafe New Zealand Guidelines - Various guidelines on construction safety Various guidelines published by WorkSafe NZ regarding tunnelling and underground work

TwFNZ	Temporary Works Forum (TwFNZ) Good Practice Guide GPG01:19
NZGTTM	NZ Guide to Temporary Traffic Management

## 1.5 Application of Standards, Codes, Guidelines, Regulations

- 1.5.1 The Contractor shall maintain processes to identify and implement updates to applicable legislation and standards.
- 1.5.2 The Contractor shall comply with all applicable New Zealand health and safety legislation, associated regulations and relevant WorkSafe NZ guidance.
- 1.5.3 The Contractor shall familiarise itself with the requirements of all the documents referenced in Table 1.4.1.1 and design its HSW system accordingly.
- 1.5.4 The current revision of BS 6164 sets out the minimum requirements expected for underground work, in relation to shafts, microtunnelling, pipejacking, tunnelling and associated underground work. In some cases, local requirements (e.g. MOQO, NZ Standards, WorkSafe guidelines and codes of practice) may impose a higher standard than BS 6164, and the higher standard shall prevail.
- 1.5.5 The order of precedence for HSW legislation, standards and requirements shall be as follows, referring to the current edition of all documents:
- HSW provisions of these Principal's Requirements
  - Health and Safety at Work Act 2015
  - Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations 2016 in New Zealand
  - NZ Standards.
  - WorkSafe NZ Approved Codes of Practices
  - WorkSafe NZ guidance documents
  - BS 6164 Code of Practice for Health and Safety in Tunnelling in the Construction Industry
- NOTE: The Principal's Requirements are not intended to "relax" any requirements under NZ Legislation requirements i.e. the Act, which shall take precedence in the event of conflicting requirements.

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## 2 Health, Safety and Wellbeing Management - General

### 2.1 The Principal's Vision and Expectations

- 2.1.1 The core purpose of the Principal's organisation is to ensure that Auckland has a well-functioning and reliable system for provision of drinking water and the treatment and disposal of wastewater. This includes making it affordable, safe, and sustainable for everyone. The Principal expects Contractors to integrate health, safety, and wellbeing best practice into all aspects of the Works.
- 2.1.2 The Principal is committed to continually improving health, safety, and wellbeing. The Contractor must align with this commitment by taking all practicable steps to prevent harm to workers, the public, and the environment. Watercare's Strategic Pillars (Leadership, Worker Engagement, Risk Management, Systems) are set out in Appendix 001 Watercare HS&W Wellbeing Commitment and HSW Strategic Pillars. The Contractor shall reflect these pillars in its leadership, systems and activities. Alternative approaches may be considered where equal or better outcomes can be demonstrated.
- 2.1.3 The Contractor shall demonstrate visible and effective HSW leadership, including:
- a) Leading by example through visible commitment to safety.
  - b) Conducting regular leadership engagements (e.g., site visits, toolbox participation).
  - c) Encouraging open reporting without fear of reprisal.
  - d) Applying Just Culture principles to support learning.
- 2.1.4 Maintaining an assurance framework including internal audits, inspections, and participation in Principal-led verifications.
- 2.1.5 The Contractor shall adopt a proactive and risk-based approach to planning and executing the Works, including:
- a) Identification and control of critical risks.
  - b) Integration of change management for modified or new activities.
  - c) Investigation and learning from incidents.
  - d) Application of relevant WorkSafe NZ and industry guidance.
- 2.1.6 Mental Health and Psychological Safety
- a) The Contractor shall provide workers with confidential access to mental health and wellbeing support services (e.g., EAP or equivalent).
  - b) Mental health awareness training shall be included for supervisory and management personnel.
  - c) The Contractor shall promote a psychologically safe environment where workers can raise concerns without fear of reprisal.
  - d) The Contractor shall maintain clear, accessible channels for workers to provide feedback or raise wellbeing concerns confidentially.
  - e) The Contractor shall actively support and participate in wellbeing campaigns and initiatives promoted by the Principal.
  - f) The Contractor shall ensure timely access to trauma support following critical incidents.
  - g) The Contractor shall include wellbeing indicators in its monthly Health, Safety and Wellbeing reports.

### 2.2 Consultation, Cooperation, and Coordination with Multiple PCBUs

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- 2.2.1 Under the Health and Safety at Work Act (HSWA, 2015), the Principal has a duty to ensure the health and safety of its workers and those influenced or directed by its operations.
- 2.2.2 PCBUs must consult, cooperate and coordinate under HSWA (2015). The Contractor shall:
  - a) Establish processes for regular coordination with subcontractors and other PCBUs.
  - b) Include subcontractors in H&S meetings and maintain shared risk registers.
- 2.2.3 To enhance collaboration, and to meet the requirements of the Health and Safety at Work Act regarding overlapping duties and shared responsibilities, the Contractor shall work together with the Principal to establish and organise regular Safety Review Group (SRG), in accordance with Appendix 006 – Safety Review Group (SRG).
- 2.2.4 The Principal shall convene an annual Contractor HSW Forum to review performance and share learnings. The Forum will also provide an opportunity to discuss initiatives and good practice as appropriate. Outcomes will inform project-level Leadership Workshops (Appendix 002), Safety Review Groups.

### **2.3 Contractor's HSW Leadership and accountability**

- 2.3.1 The Contractor shall demonstrate effective HSW leadership and accountability.
- 2.3.2 A project-level Health, Safety and Wellbeing Leadership Workshop shall be completed within 30 days of Contract commencement, unless otherwise agreed with the Principal. The purpose of the workshop is to align the Watercare, Contractor and Consultant Leadership Commitment Charter and to confirm leadership roles, expectations and measurable objectives in accordance with Appendix 002 – Health, Safety and Wellbeing Project Leadership Workshop Framework.
- 2.3.3 The Contractor shall clearly identify project-level leadership roles with defined responsibilities for HSW. A system shall be maintained to ensure these leaders maintain regular site presence, engage directly with workers and participate in key site activities. All leadership interactions shall be documented and reported monthly as evidence of leadership visibility and accountability.
- 2.3.4 All leadership interactions shall be documented and reported monthly as evidence of leadership visibility and accountability for HSW performance.
- 2.3.5 The Contractor shall maintain a recognition process to reinforce safe behaviours, proportionate to the scale and risk of the project. If aligning with the Principal's approach, the Contractor may reference Appendix 003 - Contractor Reward and Recognition Guidelines.
- 2.3.6 Managers and supervisors shall demonstrate visible safety leadership, including participation in pre-start meetings, toolbox talks and other worker engagement activities.
- 2.3.7 The Contractor shall maintain systems for observing work, providing timely feedback, and addressing unsafe behaviours, proportionate to the project's scale and risk.
- 2.3.8 The Contractor's Senior Leadership Team shall maintain HSW leadership competency through ongoing professional development, including recognised training, forums, workshops, or equivalent activities.

### **2.4 Contractor's Health, Safety and Wellbeing Organisation and Personnel**

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- 2.4.1 The Contractor shall employ Health and Safety Resources acceptable to the Principal and shall submit resumes and competency evidence for the Principal's review and no objection. Resource requirements shall align with Appendix 005 - Contractor's Health and Safety Resource Requirements.
- 2.4.2 The Contractor's Health and Safety Manager(s) and Advisor(s) shall have the authority and access necessary to perform their duties, including monitoring, advising, and supporting the Project team. They shall assist the Contractor's Project Manager, Project Director, and Senior Leadership Team, who retain accountability for HSW outcomes, in implementing the HSWMP.
- 2.4.3 The Contractor shall notify the Principal at least 30 days before reassigning or replacing any approved Health and Safety Resources. If 30 days' notice is impracticable, the Contractor shall notify the Principal as soon as practicable and promptly submit replacement personnel for review and no objection.
- 2.4.4 The Contractor shall submit to the Principal, for no objection, the names and qualifications of competent persons proposed for roles including the SSE (where required), Lifting and Rigging Supervisor/Coordinator, Temporary Works Coordinator or Designer, and any third-party inspection or audit organisations. Submissions shall be provided 30 days prior to the commencement of duties, or as soon as practicable where this is not possible. The Principal reserves the right to refuse individuals or organisations not deemed suitably qualified, experienced, or competent.

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### **3 Health Safety and Wellbeing Management – Specific Requirements**

- 3.1.1 This section sets out minimum HSW requirements for key work activities. The Contractor remains responsible for identifying and managing all risks associated with the Works and implementing appropriate controls in accordance with the approved HSWMP.

#### **3.2 Notifiable work**

- 3.2.1 The Contractor shall identify work requiring notification and notify WorkSafe NZ in accordance with legislative requirements. The Contractor shall maintain procedures that set out the notification process and provide copies of notifications to the Principal's Project Manager.

#### **3.3 Sub-contractor health and safety selection, engagement, and management**

- 3.3.1 The Contractor shall ensure subcontractors have appropriate HSW systems and shall implement a prequalification process (e.g., Tōtika). The process shall describe the method used, assessment criteria, tools, and responsible persons.
- 3.3.2 The Contractor shall ensure that all subcontractors are informed of the project's health and safety policies, procedures, and expectations, and are made aware of their obligation to comply with the Contractor's HSWMP and all relevant legislation.
- 3.3.3 The Contractor shall monitor subcontractor HSW performance shall be monitored and evaluated through inspections, audits, and performance reviews. Findings shall be documented to verify compliance.
- 3.3.4 The Contractor shall foster a culture of health and safety collaboration among subcontractors. The Contractor shall facilitate coordination and communication between subcontractors, including regular HSW meetings.
- 3.3.5 Where specialist subcontractors apply their own HSW systems, the Contractor shall demonstrate how interfaces, responsibilities, and overlaps are identified and managed. In fulfilling these duties, the Contractor shall have regard to WorkSafe's "PCBU Working Together" guidance

#### **3.4 Worker's Consultation and Engagement**

- 3.4.1 Worker engagement and participation are fundamental to Watercare's Strategic Pillars and are mandatory requirements under the Health and Safety at Work Act 2015 (sections 58–61).
- 3.4.2 The Contractor shall establish and maintain a structured process for worker consultation, setting out the methods used to engage and communicate with workers and their involvement in health, safety, and wellbeing discussions and decision-making.
- 3.4.3 Worker representatives shall have access to relevant risk assessments, method statements, and planning documentation.
- 3.4.4 The Contractor shall establish joint health and safety committees in accordance with HSWA and ensure they meet regularly, with decisions documented and actioned.
- 3.4.5 The Contractor shall implement a Stop Work procedure enabling workers to stop unsafe work without reprisal.

- 3.4.6 The Contractor shall encourage workers to report near misses, unsafe acts, and unsafe conditions through a reporting mechanism. Workers shall also be involved in incident investigations, particularly in identifying root causes and corrective actions.
- 3.4.7 The Contractor shall involve workers in preparing and reviewing Safe Work Method Statements (SWMS) for relevant task. Workers shall participate in toolbox talks, risk discussions, and activity planning.
- 3.4.8 The Contractor shall maintain systems for worker feedback and periodically review and improve engagement methods.
- 3.4.9 The Contractor shall support Principal-led worker engagement and safety culture surveys in accordance with Appendix 008 - Scope and Methodology for Health, Safety and Wellbeing Survey.

### **3.5 Health Safety and Wellbeing Communication Program**

- 3.5.1 The Contractor shall develop and implement an HSW communication procedure that ensures timely and effective communication.
- 3.5.2 The Contractor shall conduct regular HSW communication meetings, including:
  - a) Daily pre-starts or toolbox talks for frontline workers.
  - b) Periodic project-level meetings for supervisors, management, and subcontractors.
- 3.5.3 The communication programme shall include processes for sharing safety alerts, incident learnings and system updates. Information shall be cascaded consistently and acted upon.
- 3.5.4 All communication shall be accessible to the workforce, including consideration of language, literacy, and cultural needs.

### **3.6 Hazard Identification and Risk Management**

- 3.6.1 The Contractor shall manage risks “so far as is reasonably practicable” in accordance with HSWA (2015), applicable Regulations and industry good practice. Risk management shall align with relevant WorkSafe guidance.
- 3.6.2 The Contractor shall establish and maintain procedures that define how hazards and risks will be identified, assessed and managed. These procedures shall reflect the scale and risk of the Works.
- 3.6.3 Risk management processes shall:
  - a) Apply the hierarchy of controls.
  - b) Integrate Safety in Design principles.
  - c) Focus on risks associated with the actual work conditions.
  - d) Provide opportunities for innovation and continuous improvement in risk controls.
  - e) Involve workers, supervisors, and subcontractors in identifying and reviewing risks.
- 3.6.4 Work shall stop immediately if unanticipated hazards or conditions arise. Work shall not recommence until risks are reassessed and effective controls are implemented through the Contractor’s change management process.

- 3.6.5 The Contractor shall conduct a project-specific review of critical HSW risks and develop procedures and controls for each critical risk. The Contractor shall verify the effectiveness of controls, communicate critical risks and controls to workers and subcontractors, and monitor and review controls as conditions change.
- 3.6.6 The Contractor shall ensure subcontractors align their work methods and controls with project critical risk requirements. Compliance shall be verified through monitoring and review.
- 3.6.7 Contractor's Managers and supervisors shall actively engage in pre-job planning and risk reviews to ensure risks and controls are reviewed, understood and documented with the workers involved.

### 3.7 Site Monitoring

- 3.7.1 The Principal and/or the Engineer may undertake site monitoring at any time to verify compliance with the Principal's Requirements, the Contractor's HSWMP and applicable legislation.
- 3.7.2 Contractor shall provide reasonable access to work areas, plant, equipment, personnel and relevant HSW documentation and records for the purposes of consultation and verification.
- 3.7.3 Access to commercially sensitive or personal information shall be managed in accordance with privacy, employment and contractual requirements.

### 3.8 Worker's Welfare

- 3.8.1 The Contractor shall provide and maintain adequate welfare facilities in accordance with legislation, regulations, and recognised industry good practice. Welfare facilities shall be safe, clean, and accessible for both surface and underground work.
- 3.8.2 A site-specific Worker Welfare Plan shall be included in the HSWMP. The Plan shall demonstrate welfare arrangements proportionate to the size, nature and duration of the Works.
- 3.8.3 Welfare provisions shall include, as a minimum:
  - a) Adequate toilets, handwashing, and hygiene facilities (including gender-specific and accessible options where required)
  - b) Safe and clean eating and break areas, with appropriate shelter and seating
  - c) Potable drinking water readily accessible to all workers
  - d) First aid and medical support arrangements
  - e) Access to wellbeing support services (e.g., mental health resources, fatigue management)
  - f) Appropriate ventilation, lighting, and temperature control in underground environments
  - g) Arrangements for regular cleaning and maintenance of welfare facilities
- 3.8.4 Welfare facilities shall be established prior to physical works and maintained to a high standard for the duration of the Works. The Principal may review and inspect welfare facilities and require improvements where necessary.

### 3.9 Mining Regulations

- 3.9.1 Elements of the Contract Works are subject to MOQO (2016), also referred to as the 'mining regulations'. With reference to MOQO (2016):
  - a) The 'Mine Owner' is the Principal.
  - b) The 'Mine Operator' is the Contractor.

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- 3.9.2 The Contractor shall comply with all applicable requirements of the MOQO (2016) Regulations.
- 3.9.3 The Site Senior Executive (SSE) shall be directly employed by the Contractor. Within 14 days of Commencement, the Contractor shall confirm the SSE's authority, seniority and ability to suspend the Works on safety grounds.
- 3.9.4 Within one month of Commencement, the Principal will notify WorkSafe NZ of the Contractor's appointment as Mine Operator. The Contractor shall obtain WorkSafe NZ clarification on which parts of the Works are subject to the Regulations and advise the Principal.
- 3.9.5 The Contractor shall prepare documentation required by WorkSafe NZ and obtain necessary "no objections" before commencing regulated work. The Contractor shall obtain the Principal's concurrence prior to issuing correspondence to WorkSafe NZ.
- 3.9.6 The Contractor shall provide qualified personnel for the SSE, Mine Manager and other safety-critical roles. The SSE shall lead development of PHMPs, PCPs and emergency plans, ensure competence, conduct audits, coordinate emergency response, and communicate safety documentation. The Contractor shall refer to the MOQO Regulations for full SSE responsibilities.
- 3.9.7 The Contractor shall deploy these personnel for sufficient duration on the Works and deliver all Mine Operator responsibilities under this Contract and with no exceptions, fully comply with all requirements of the legislation.
- 3.9.8 The Contractor shall provide evidence of qualifications, competence and experience for safety-critical personnel, including any required acceptance by WorkSafe NZ.
- 3.9.9 The Contractor shall allow adequate programme time for WorkSafe NZ approvals. Delays arising from incomplete or inadequate submissions shall not entitle the Contractor to extensions of time or Variations.
- 3.9.10 Contractor shall conduct a Broad-Brush Risk Assessment workshop for PHMPs and PCPs and invite Principal to participate.
- 3.9.11 The Contractor shall submit its draft Principal Hazard Management Plans (PHMPs) and Principal Control Plans (PCPs) to the Engineer for review prior to submission to WorkSafe NZ. All review comments shall be addressed.
- 3.9.12 The Contractor shall ensure personnel accessing the mine site are trained and competent.
- 3.9.13 At its discretion, the Principal expects to monitor the Contractor's compliance with the MOQO (2016) Regulations. The Contractor shall provide access to all relevant records and submit compliance reports as required.
- 3.9.14 The Contractor shall notify the Principal and Engineer immediately of WorkSafe NZ breaches, notices or enforcement actions and provide copies within five business days.
- 3.9.15 The Contractor shall comply with Appendix 021 (Temporary Shaft) and Appendix 022 (Temporary Excavation and Support).
- 3.9.16 A Site Access Management Plan for mine sites shall be prepared and include shaft fall protection, surface and shaft exclusion zones, plant–people separation, underground access control.

### **3.10 Personal Protective Equipment (PPE)**

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- 3.10.1 The Contractor shall ensure all workers, subcontractors and visitors wear minimum PPE requirements in accordance with Appendix 016. These requirements shall be incorporated into the HSWMP.
  - 3.10.2 All PPE shall comply with relevant AS/NZS Standards, be fit for purpose, inspected regularly and replaced as necessary.
  - 3.10.3 The Contractor shall assess task-specific risks and provide any additional PPE required to manage those risks.
  - 3.10.4 The Contractor shall implement a PPE management system that includes compliance checks, timely replacement processes, and clear expectations for PPE use. PPE non-compliance shall be addressed promptly and corrective actions applied where necessary.

### **3.11 Drug and alcohol impairment management**

- 3.11.1 The Contractor shall implement a Drug and Alcohol Policy that complies with AS/NZS 4308:2008 (Drug testing in urine), AS 3547 (Breath alcohol testing devices), and AS/NZS 4760 (Procedures for specimen collection and the detection and quantitation of drugs of abuse in oral fluid). The Policy and procedures shall be incorporated into the HSWMP.
- 3.11.2 The Contractor shall provide training and awareness on its Drug and Alcohol Policy
- 3.11.3 The HSWMP shall describe Fitness for Work testing arrangements, including pre-employment, pre-access or mobilisation testing where appropriate.
- 3.11.4 Testing regimes shall include reasonable cause, post-incident and random testing. The HSWMP shall specify testing approaches, frequency and workforce coverage.
- 3.11.5 Testing shall follow chain-of-custody protocols to ensure integrity and confidentiality.
- 3.11.6 Positive test results shall be managed in accordance with the Contractor's Drug and Alcohol Policy, including immediate removal from safety-sensitive duties and application of corrective or disciplinary actions.
- 3.11.7 The Contractor shall maintain confidential records of drug and alcohol testing and related actions. Information provided to the Principal shall comply with privacy requirements.
- 3.11.8 Watercare sites shall be smoke-free workplaces. Any designated smoking or vaping areas shall be located away from buildings, amenities and common areas and identified in the HSWMP.
- 3.11.9 The Contractor shall implement and maintain a random drug and alcohol testing programme for all personnel engaged on the Works. The programme shall:
  - a) define, within the HSWMP, the proposed testing frequency and the proportion of the workforce subject to random testing.
  - b) provide enhanced testing coverage for safety-critical roles, with the proposed approach and rationale documented in the HSWMP.
  - c) apply to all PCBUs operating under the Contract, including subcontractors and labour-hire personnel.
  - d) utilise an auditable random selection process; and



- e) include monthly reporting to the Principal detailing workforce numbers, the proportion tested (including safety-critical roles), and aggregated results in accordance with privacy requirements.
- f) The testing frequency and coverage shall be sufficient to provide assurance of an impairment-free workforce across all shifts, work fronts, and subcontractors.

### 3.12 Fatigue management

- 3.12.1 The Contractor shall develop and implement a Fatigue Management Procedure that identifies, assesses and manages fatigue-related risks. This procedure shall be included in the HSWMP.
- 3.12.2 The Fatigue Management Procedure shall address, as a minimum:
  - a) maximum shift durations and minimum rest periods consistent with industry good practice
  - b) controls for night shifts, extended hours, high-risk tasks, and shift rotations.
  - c) arrangements for cumulative fatigue
  - d) supervision responsibilities for monitoring fatigue
  - e) processes for reporting fatigue concerns
  - f) escalation pathways for unresolved fatigue risks.
- 3.12.3 Work scheduling and rostering shall support effective fatigue management.
- 3.12.4 Supervisors shall identify and manage fatigue risks during pre-start checks and ongoing supervision.
- 3.12.5 The Contractor shall ensure workers are trained and aware of fatigue risks, contributing factors, controls and reporting responsibilities.
- 3.12.6 Workers displaying signs of significant fatigue shall be removed from safety-sensitive tasks until fatigue risks are adequately managed.
- 3.12.7 Where fatigue contributes to or is suspected in an incident, the Contractor shall investigate contributing factors and implement corrective actions.

### 3.13 Worker Occupational Health Monitoring

- 3.13.1 The Contractor shall develop and implement an Occupational Health Monitoring Programme that complies with legislative requirements and reflects project-specific health risks. This programme shall be included in the HSWMP.
- 3.13.2 The programme shall align with relevant WorkSafe NZ guidance.
- 3.13.3 The Contractor shall identify all health hazards associated with the Works and evaluate health risks using recognised occupational hygiene principles.
- 3.13.4 The Contractor shall undertake health monitoring for workers exposed to health hazards where monitoring is required to detect adverse effects or verify the effectiveness of controls. Monitoring shall include baseline, periodic and exit testing as appropriate.
- 3.13.5 For workers engaged in high-risk environments, including underground works and sewer operations, the Contractor shall implement specific health monitoring protocols to address potential exposures to hazardous substances, pathogens, and other relevant risks.



- 3.13.6 Where works are undertaken within geological formations such as the East Coast Bays Formation (ECBF) or volcanic deposits, the Contractor shall assess the risk of exposure to minerals such as Erionite and implement appropriate elimination or mitigation controls.
- 3.13.7 Health monitoring shall be conducted and interpreted by competent occupational health practitioners
- 3.13.8 Where health monitoring indicates adverse effects, the Contractor shall review controls, remove the worker from exposure where required, implement corrective actions, notify the worker and Principal, and complete any required regulatory notifications.
- 3.13.9 The Contractor shall provide the Principal with aggregated monitoring information that complies with privacy and confidentiality requirements.
- 3.13.10 The Contractor shall develop and implement an annual health and wellness program that promotes physical and mental well-being among workers. This program shall include health education sessions, stress management workshops, and initiatives to encourage healthy lifestyle choices.
- 3.13.11 Contractor shall maintain health monitoring records securely for the duration of the Contract and as required by legislation, and make them available to the Principal on request, subject to privacy requirements.

### **3.14 Overhead and Underground Utilities**

- 3.14.1 The Contractor shall identify, locate and manage all underground and overhead services within and adjacent to the work area, including known and potential unknown services.
- 3.14.2 The Contractor shall obtain all available service information before commencing work. The Contractor shall not rely solely on as-builts or service plans as accurate representations of service locations.
- 3.14.3 The Contractor shall implement a Utility Management Plan for Service Detection and Verification Process that includes competent personnel, appropriate detection equipment, potholing/hand-digging to physically verify service positions, and accurate marking and recording of verified locations. Verification shall occur prior to any ground penetration or excavation.
- 3.14.4 The contractor shall establish an escalation and reporting procedures for unexpected service strikes or near misses, including immediate notification to the Principal and corrective actions.
- 3.14.5 Mechanical excavation shall not occur within defined safe working distances of unverified services. These distances shall be defined in the Utility Management Plan and applied to all subcontractors.
- 3.14.6 Where isolations or shutdowns are required, the Contractor shall liaise with service owners, obtain written confirmation, follow LOTO requirements, implement isolation verification and communicate boundaries to workers.
- 3.14.7 The Contractor shall implement supervision proportionate to risk, including dedicated supervision near critical services and increased oversight for nightwork, brownfield areas and congested corridors.
- 3.14.8 In the event of a service strike, the Contractor shall stop work, secure the area, notify the Principal and service owner, implement emergency arrangements, investigate the event and implement corrective actions. Service strikes shall be notified in accordance with incident reporting requirements.

3.14.9 The Contractor shall ensure workers and subcontractors are trained and competent in the Utilities Management Plan, including service risks, verification methods, safe working distances and emergency procedures.

3.14.10 The Contractor shall maintain and update records of detected and verified services, including photographs, surveys and mark-up plans, and provide these to the Principal as part of as-built documentation.

### 3.15 Vehicle Safety and Traffic Management

3.15.1 The Contractor shall develop, implement and maintain a Vehicle Safety and Traffic Management Plan proportionate to the scale, scope and risk profile of the Works. The Plan shall be included in the HSWMP.

3.15.2 The Plan shall address, as a minimum:

- a) vehicle–pedestrian segregation
- b) site access and egress control
- c) traffic flow routes
- d) reversing controls
- e) speed limits
- f) signage and delineation
- g) visibility controls
- h) parking and laydown areas
- i) delivery vehicle management
- j) nightwork controls
- k) public interface controls
- l) emergency arrangements

3.15.3 Vehicle movements shall be planned and managed to minimise plant–pedestrian interaction. Controls shall be communicated to workers and subcontractors.

3.15.4 Mechanical plant and heavy vehicles shall only be operated by trained and competent operators. Competency records shall be maintained and available for review.

3.15.5 Plant and vehicle pre-start inspections shall be completed daily. Defects shall be recorded and rectified prior to use. Pre-start records shall be retained and available for review.

3.15.6 The Contractor shall establish and demarcate exclusion zones around plant operations and communicate them to all personnel.

3.15.7 Spotters or traffic controllers where necessary to be used for high-risk manoeuvres. Effective communication between spotters and operators shall be maintained at all times.

3.15.8 Reversing shall be minimised. Where required, controls such as alarms, cameras, spotters and restricted access zones shall be implemented.

3.15.9 Traffic Management Plans shall be prepared for work interfacing with public roads or pedestrian areas and submitted to the relevant authority (Waka Kotahi or Auckland Transport) for approval.

3.15.10 Vehicles and plant operating near shafts, trenches or underground structures shall comply with exclusion zones and temporary works requirements.

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- 3.15.11 Delivery and service vehicle operations shall be managed through designated delivery windows, controlled unloading areas, and coordination with subcontractors.
- 3.15.12 Vehicles and plant shall be fitted with appropriate safety features including beacons, alarms, mirrors or cameras, seatbelts, ROPS (as required) and suitable lighting.
- 3.15.13 Traffic routes shall be adequately lit for nightwork and low-light conditions. Additional lighting shall be provided as required.

### **3.16 Control of Substances Hazardous to Health**

- 3.16.1 The Contractor shall manage all hazardous substances in accordance with the Health and Safety at Work (Hazardous Substances) Regulations 2017 and relevant WorkSafe NZ guidance.
- 3.16.2 A Hazardous Substances Management Plan (HSMP) shall be prepared as part of the HSWMP and include, as a minimum:
- a) hazardous substances inventory.
  - b) SDS for all substances
  - c) storage and segregation arrangements
  - d) spill response procedures.
  - e) disposal and waste management
  - f) emergency procedures.
- 3.16.3 Hazardous substances shall be stored, handled and used in accordance with SDS requirements, manufacturer instructions and applicable standards.
- 3.16.4 Appropriate spill response equipment shall be available and maintained.
- 3.16.5 Workers shall be trained in hazardous substance risks, correct handling, spill response and disposal.

### **3.17 Live Sewer Working**

- 3.17.1 The Contractor shall ensure that all work in or around live sewer environments is undertaken only by competent and appropriately trained personnel. Such personnel shall be medically fit, have received appropriate vaccinations (including but not limited to Hepatitis A, Hepatitis B and Tetanus), and be subject to occupational health monitoring as required under the Contract.
- 3.17.2 Prior to commencing such work, the Contractor must demonstrate that the hierarchy of controls has been fully applied to eliminate or, where elimination is not practicable, minimise risks associated with live sewer flows. Controls shall include, but are not limited to:
- a) robust procedures for isolation and verification of live flows using approved mechanical plugs or other devices appropriate for the pipe size, flow, and pressure conditions.
  - b) documented verification of isolation integrity, using continuous monitoring methods (e.g., pressure gauges, telemetry, flow meters, or visual confirmation) where reasonably practicable and proportionate to the risk.
  - c) application of engineering controls, administrative controls, and appropriate personal protective equipment.
  - d) continuous supervision and monitoring of all activities; and
  - e) maintenance of evidence of worker competence, health monitoring, vaccinations, isolation devices, monitoring methods and risk assessments for verification and audit purposes.

- 3.17.3 A site-specific emergency response plan, including a Trigger Action Response Plan (TARP), shall be developed, communicated to all workers and subcontractors, and tested to ensure a timely and effective response to foreseeable events. Non-compliance with these requirements be treated as a serious breach of the Contract and may result in suspension of work, removal of personnel from site, and/or other remedies available under the Contract.

### 3.18 Confined spaces

- 3.18.1 Contractor shall ensure that all confined space work is planned and conducted in accordance with AS 2865, relevant WorkSafe NZ guidance and the Contractor's Confined Space Entry Procedure. Confined space entry shall only be undertaken by trained and competent personnel.
- 3.18.2 A Confined Space Entry Plan shall be developed for each entry and include hazard identification, control measures (including testing, ventilation and isolation), permit requirements, roles and responsibilities, communication arrangements, rescue procedures and record-keeping requirements.
- 3.18.3 Atmospheric testing shall be conducted prior to entry and continuously monitored where required. Testing shall include oxygen levels, flammable gases and relevant airborne contaminants. Atmospheric testing equipment shall be calibrated and maintained in accordance with manufacturer instructions.
- 3.18.4 Energy sources shall be isolated before entry. Isolation verification shall be documented prior to entry.
- 3.18.5 A trained and dedicated standby person shall be present throughout the entry and shall have no additional duties that compromise monitoring responsibilities.
- 3.18.6 Rescue arrangements shall be established, resourced and tested prior to entry. Emergency services shall not be relied upon as the primary rescue method.
- 3.18.7 Workers involved in confined space entry shall be trained in hazards, safe entry procedures, atmospheric testing, communication, rescue procedures and PPE.

### 3.19 Plant and Equipment Safety

- 3.19.1 The Contractor shall ensure that all plant and equipment used for the Works is fit for purpose, compliant with legislation, manufacturer instructions, and relevant standards. Plant shall not be operated unless maintained in a safe and serviceable condition.
- 3.19.2 The Contractor shall maintain an up-to-date plant and equipment register including certification, inspection records, maintenance status and operator competency requirements.
- 3.19.3 Daily pre-start inspections shall be completed and documented for all plant and equipment. Faults shall be repaired prior to use, or the plant shall be removed from service.
- 3.19.4 On arrival at Site, all plant and equipment shall be inspected by a competent person appointed by the Contractor to confirm fitness for the intended purpose, safe operating condition, and compliance with project-specific requirements. Defective plant shall be tagged out of service until rectified, re-inspected, and declared safe. Records of all arrival inspections shall be maintained and made available to the Principal upon request.

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- 3.19.5 Plant safety features shall be installed and operational, including ROPS/FOPS (as applicable), emergency stops, reversing alarms, cameras or mirrors, seatbelts and stability or load indicators.
- 3.19.6 Exclusion zones shall be established, demarcated and controlled around operating plant.
- 3.19.7 The Contractor shall establish a preventative maintenance and inspection programme proportionate to the size and risk of the Project. This shall:
- a) Follow manufacturer's recommendations and legislative requirements.
  - b) Define inspection intervals and activities for safety-critical systems.
  - c) Require subcontractors and hire companies to provide evidence of current inspection and certification; and
  - d) Retain all maintenance and inspection records, available to the Principal upon request.

### **3.20 Lifting and Rigging Operations**

- 3.20.1 The Contractor shall ensure all lifting operations are planned, managed and supervised in accordance with legislation, standards, manufacturer requirements and the Contractor's procedures. All lifting activities shall be risk assessed prior to commencement.
- 3.20.2 The Contractor shall establish and implement a defined process for the safe management of all lifting operations. This process shall include:
- a) documented risk assessment and method statement for each lifting operation, proportionate to the scale and complexity of the lift.
  - b) clear criteria for distinguishing between routine and critical lifts; and
  - c) additional risk controls and verification measures for critical lifts.
- 3.20.3 A Lift Plan (or Lift Study, where required) shall be developed for lifting operations involving cranes, MEWPs used for lifting, excavators used for lifting, complex lifts, multi-crane lifts, lifting of persons or lifting near services or structures.
- 3.20.4 The Contractor shall ensure that all lifting operations are planned, overseen, and verified by a competent person, proportionate to the scale and risk of the Works. Where the Project does not justify a dedicated on-site Lifting Supervisor, routine lifts may be managed under standard organisational procedures. For all critical lifts, the Contractor shall ensure that the Lift Plan is reviewed and verified in advance by a competent organisational-level Subject Matter Expert (SME), regardless of project size or location.
- 3.20.5 All cranes, lifting equipment, and lifting accessories be certified, inspected, and subject to preventative maintenance at intervals appropriate to the risk and duration of use. Daily pre-use checks shall be conducted by a competent person, and defective equipment shall be immediately withdrawn from service.
- 3.20.6 The Contractor shall establish exclusion zones and traffic management controls to protect workers and the public during lifting operations. Controls shall be proportionate to the lifting activity and site conditions.
- 3.20.7 The Contractor shall ensure all crane operators, riggers, and dogmen hold current and recognised licences, endorsements, or equivalent evidence of competency. Competency records shall be maintained and made available to the Principal upon request.
- 3.20.8 Emergency procedures specific to lifting operations, including responses to dropped loads, plant failure, or instability, shall be developed, documented, and incorporated into the project HSWMP.
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### 3.21 Control of Work System compliance

- 3.21.1 This clause applies to all works undertaken on, in or around Watercare assets or facilities (brownfield projects). All Contractors and their subcontractors engaged on such works shall comply with the Watercare Control of Work (CoW) System. The CoW System provides the framework for planning, authorising, and executing work safely and effectively.
- 3.21.2 The Contractor shall comply with all requirements of the Watercare CoW System when conducting work on Watercare assets. This includes, but is not limited to:
- d) Obtaining all required permits, isolations, and authorisations.
  - a) Complying with all conditions specified in permits and authorisations; and
  - b) Ensuring that all personnel involved in the works are fully briefed on, and follow, CoW procedures at all times.
- 3.21.3 Prior to commencing any work on Watercare assets, all personnel (including subcontractors) shall attend and successfully complete the relevant Watercare training. WSL will provide access to the current CoW User Manual and facilitate the required training. Completion of this training, and any required refresher training, is a mandatory prerequisite for authorisation to undertake work on Watercare assets.

## **4 Health, Safety and Wellbeing Management Plan (HSWMP)– Content and System Requirements**

### **4.1 Health and Safety Policy**

- 4.1.1 The Contractor shall maintain an organisation-wide Health, Safety and Wellbeing Policy, signed at executive level. The Policy is generally corporate in nature and provides the foundation for the Contractor's health and safety approach. The Contractor shall ensure that it is communicated to all personnel engaged on the Project and that its commitments are reflected in behaviours and systems applied on site.
- 4.1.2 At a minimum, the Policy shall demonstrate the Contractor's commitment to:
- a) Preventing harm and promoting the health, safety, and wellbeing of workers and others who may be affected by the Works.
  - b) Consulting and engaging with workers on health, safety, and wellbeing matters.

### **4.2 Contractor's Health Safety and Wellbeing Management Plan**

- 4.2.1 The Contractor shall develop and submit a project-specific HSWMP to the Principal within ten (10) working days of tender acceptance. The HSWMP shall be proportionate to the size, complexity, and risk profile of the Works.
- 4.2.2 The HSWMP shall be submitted for the Principal's review and "no objection" prior to commencing any physical works.
- 4.2.3 The HSWMP shall outline the Contractor's safety management arrangements for the Project, certified to AS/NZS ISO 45001:2018. Where certification is not held, the Contractor shall provide evidence of alignment and a plan with a timeline to achieve certification.
- 4.2.4 The HSWMP shall incorporate the elements in Appendix 004 – Contractor HSWMP Minimum Requirements and demonstrate compliance with HSWA (2015) and relevant regulations.
- 4.2.5 The HSWMP shall demonstrate how Watercare's Strategic Pillars will be applied to the Project: Leadership, Worker Engagement, Risk Management and Systems.
- 4.2.6 The HSWMP shall document how health and safety risks, including subcontractor and vendor risks, will be managed. Organisational procedures may be used if adapted to the Project.
- 4.2.7 The HSWMP shall focus on building a proactive and sustainable safety culture. The Contractor shall consider HOP principles or similar approach in planning and delivering work.
- 4.2.8 The HSWMP shall include measures to ensure subcontractors, vendors and visitors comply with health, safety, and wellbeing requirements.
- 4.2.9 The HSWMP shall be reviewed and updated at intervals proportionate to the Project's duration, scale and risk profile, and whenever operations or conditions change, or legislation is updated. Amendments shall be submitted to the Principal.
- 4.2.10 Management and supervisory personnel shall demonstrate visible leadership and engagement in implementing the HSWMP. Actions taken to support compliance shall be documented.

### **4.3 Safety in Design**

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- 4.3.1 The Contractor shall integrate Safety in Design principles throughout the Contract, ensuring that permanent and temporary works are designed and executed so far as reasonably practicable to eliminate, or where elimination is not practicable, mitigate risks to health and safety during construction, operation, maintenance and decommissioning.
  - 4.3.2 The Contractor shall apply the WorkSafe New Zealand Safety by Design guidelines and all applicable HSWA (2015) obligations to ensure that design risks are identified, assessed and controlled.
  - 4.3.3 Formal risk assessments for all design elements that may affect health, and safety shall be documented in a Design Risk Register and reviewed at key project stages, including detailed design, construction and commissioning.
  - 4.3.4 The Contractor shall comply with the Temporary Works Forum (NZ) Good Practice Guide TWFNZ GPG01:19 for all temporary works. Compliance with this Guide shall form the baseline standard for temporary works procedures.
  - 4.3.5 The Principal may at any time review, audit or require an independent third-party review of the Contractor's Safety in Design process or temporary works design.
  - 4.3.6 Where preliminary design information is provided by the Principal, the Contractor shall treat it as input only and develop its own Safety in Design procedures. A Designer's Risk Assessment shall be maintained through design, construction and as-built stages and included in the Operations and Maintenance Manual.
  - 4.3.7 The Contractor shall engage with the Principal and relevant stakeholders to ensure future inspection, operation and maintenance activities are identified and addressed in the design.
  - 4.3.8 Safety in Design workshops shall be included within the Contractor's programme for each design package. Workshops shall address all design elements and include relevant parties, as agreed with the Principal. The Contractor shall amend its design to close out workshop actions.
  - 4.3.9 The final Designer's Risk Assessment shall be provided as part of the Operations and Maintenance Manual.
  - 4.3.10 The Contractor shall comply with the Watercare Safety in Design Guide. Safety in Design procedures, workshops and deliverables shall align with the Guide's principles, process stages and documentation requirements.



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## 5 Training and Competency

### 5.1 General

- 5.1.1 All workers shall be trained and competent to perform their work in accordance with the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016, section 9.
- 5.1.2 The Contractor shall establish and maintain systems for health and safety training and competency proportionate to the size, duration and risk profile of the Works. At a minimum, this shall include:
  - a) evidence that workers hold required and current licences, trade qualifications and certifications.
  - b) delivery of mandatory Watercare and site-specific inductions before work commences, and.
  - c) current training and competency record available for inspection by the Principal.
- 5.1.3 Where projects are larger or more complex, or where the Contractor works across multiple Watercare projects, a comprehensive Training Matrix shall be maintained at project or company-wide level.
- 5.1.4 All employees shall attend and complete the mandatory Watercare face-to-face induction once established by the Principal. Attendance shall be a prerequisite for working on Watercare projects.
- 5.1.5 The Contractor shall provide a site-specific induction for all workers before they start work on site. Induction material shall be proportionate to project risks, approved by the Principal and comply with Appendix 013: Minimum Required Content and Structure of Contractor's Safety Induction.
- 5.1.6 The Contractor shall implement an ongoing competency training programme including refresher courses, skill assessments and training to address new conditions, roles or technologies.
- 5.1.7 A Verification of Competency (VOC) process shall be implemented to confirm workers have the skills and knowledge required for their tasks. Workers shall hold required and current licences or trade qualifications. Competency systems may include in-house assessments, industry-recognised training programmes or industry-recognised assessment processes.
- 5.1.8 The Contractor's procedures shall address supervision of new or inexperienced workers who are not yet competent.
- 5.1.9 The Contractor shall provide emergency response training proportionate to site risks and workforce size, including first aid awareness, fire safety and evacuation procedures.
- 5.1.10 All health and safety training programmes shall comply with relevant industry standards and best practices.
- 5.1.11 The Contractor shall evaluate the effectiveness of training programmes and adjust based on feedback and project needs.

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## 5.2 Supervisors and Site Managers

- 5.2.1 The Contractor shall ensure that all supervisory and management personnel (including Foremen, Supervisors and Site Managers) receive training in health and safety leadership, effective communication and risk management. This training shall foster a proactive safety culture and enable supervisors to confidently manage health and safety risks on site.
- 5.2.2 The Contractor shall develop, implement and maintain a formal training and competency development programme for all supervisory and management personnel. The programme shall ensure that those in leadership roles have the required health and safety competencies, technical knowledge, decision-making skills and hazard management capabilities.
- 5.2.3 The Contractor shall maintain a competency matrix that defines the required training, qualifications and experience for each supervisory and management role. Compliance with the competency matrix shall be actively monitored, with refresher training or reassessment provided at appropriate intervals or when deficiencies are identified.

## 5.3 Plant and Equipment Operators

- 5.3.1 The Contractor shall ensure that all plant and equipment operators hold current, recognised licences, endorsements or certifications relevant to the plant or equipment they operate.
- 5.3.2 The Contractor shall maintain a Verification of Competency (VOC) system for all plant and equipment operators. The VOC system may operate at company-wide or project level, provided it demonstrates that:
  - a) operators hold required current licences or qualifications.
  - a) operators have undergone a practical assessment by a competent person.
  - b) on-the-job training is managed under a documented procedure covering training objectives, supervision and monitoring; and
  - c) documented assessment records are retained and made available to the Principal on request. For high-risk or specialist plant, the VOC process shall include a formal, documented assessment consistent with industry good practice.
- 5.3.3 The Contractor shall maintain accurate, current records of operator licences, endorsements, VOC assessments and expiry dates. Records shall be monitored with refresher training or reassessment provided when required.
- 5.3.4 Where new, modified or specialist plant or equipment is introduced, operators shall receive task-specific training and familiarisation before use, including training on instructions, safety features, site hazards and critical controls.
- 5.3.5 The Contractor shall implement a procedure to suspend or restrict operators who are incompetent, unfit for duty or in breach of safety requirements. Operators may only return to duty once competency is re-established through retraining or reassessment.

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## **6 Emergency Preparedness and Management**

### **6.1 Contractor's Emergency Preparedness and Management Plan**

- 6.1.1 The Contractor shall develop and maintain a project-specific Emergency Preparedness and Management Plan (EPMP). The EPMP shall be submitted to the Principal for review prior to works commencing on site.
- 6.1.2 The Contractor's EPMP shall align with the Coordinated Incident Management System (CIMS) framework to ensure an effective and coordinated emergency response.
- 6.1.3 The Contractor's EPMP shall reference the Watercare Incident Management Plan. The Contractor shall collaborate with the Principal and relevant stakeholders in accordance with Appendix 015 Watercare Guidelines for Contractors on Incident Management.
- 6.1.4 All personnel shall receive training on the EPMP, including evacuation procedures, emergency contacts and defined roles and responsibilities. This includes the Principal's or Engineer's personnel who are regularly present on site.
- 6.1.5 The Contractor shall establish clear communication protocols for emergencies to ensure timely dissemination of information to the Principal, emergency services and affected personnel.
- 6.1.6 The Contractor shall conduct regular emergency drills and exercises proportionate to the size and risk of the project. An emergency drill schedule shall be maintained for the duration of the Contract Works. Findings from drills or exercises shall be documented and shared with the Principal.

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## **7 Reporting, Performance and Assurance**

### **7.1 Incident Notification, Investigation and Reporting**

- 7.1.1 The Contractor shall establish and implement an incident reporting procedure requiring all workers and subcontractors to promptly report incidents and close calls. The procedure shall include investigation and response processes.
- 7.1.2 The Contractor shall notify the Principal of all incidents and close calls in accordance with Appendix -18: Guidance for Notification and Investigation of Incidents and Close Calls.
- 7.1.3 The Contractor shall notify WorkSafe NZ of all notifiable incidents as required by legislation. A copy of the notification shall be provided to the Principal before submission where practicable, or as soon as reasonably practicable for urgent notifications.
- 7.1.4 For High or Very High actual or realistic potential consequence events, the Contractor shall issue an Initial Incident Alert within 24 hours. The alert shall summarise basic facts, immediate controls and preliminary findings. The Principal may further distribute the alert.
- 7.1.5 An Initial Incident Report shall be submitted within:
  - d) 24 hours for High or Very High consequence events; or
  - e) within three (3) days of the event for all other incidents and close calls.
  - f) The Contractor shall submit all incident reports, data and learnings through the reporting mechanism and digital platform nominated by the Principal, in the required format.
- 7.1.6 Where a full investigation is required, the Contractor shall begin immediately and submit a Final Investigation Report within fifteen (15) days using a recognised method (e.g., ICAM or learning teams). The report shall identify causes and include an improvement plan. Extensions require prior agreement from the Principal.
- 7.1.7 The Contractor shall prepare a Lessons Learned Summary from the full investigation and share it with the Principal.
- 7.1.8 Contractor shall adopt the Principal's standard classification of accidents and incidents, as set out in Appendix 018 - Incident Notification, Classification, and Investigation Requirements, to ensure consistency in reporting and investigation across all Watercare projects.
- 7.1.9 Where directed, the Contractor shall undertake a Safety Management Review in accordance with a Terms of Reference issued by the Principal. The Contractor shall:
  - a) Prepare and submit the investigation report in accordance with the Terms of Reference.
  - b) Arrange and facilitate a Safety Management Review session with the Principal, focusing on findings, lessons learned, and proposed improvements.
  - c) These activities are to be completed within the timeframes agreed with the Principal and shall be used to inform continuous improvement of the HSWMP.
- 7.1.10 Health and Safety Representatives shall be consulted and involved in investigations.

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## 7.2 HSW Performance Measurement and Reporting

7.2.1 The Contractor shall adopt a consistent approach to measuring health, safety and wellbeing performance aligned with the Principal's framework. Performance monitoring shall evaluate compliance and the effectiveness of health, safety, and wellbeing management practices. KPIs shall include leading and lagging indicators, with leading metrics aligned to the four Strategic Pillars: Leadership, Worker Engagement, Risk-Based Approach and Systems.

7.2.2 The KPIs shall be agreed collaboratively between the Contractor and the Principal to ensure they are proportionate to the Project's risk profile. For smaller or similar-scale projects, the Principal may group Contractor performance into a portfolio view.

The Contractor shall measure and review performance against the agreed KPIs at least monthly, documenting findings, identifying areas for improvement and communicating outcomes to relevant workers, supervisors and the Principal.

The Contractor shall submit a monthly health, safety and wellbeing performance report in the format specified in Appendix 11, including performance against HSPI indicators, trends and progress towards agreed targets.

The Contractor shall provide all required data to support calculation of the Health and Safety Performance Index (HSPI) in accordance with Appendix 009 – Health and Safety Performance Index Framework Guideline.

## 7.3 Audits, Inspections and Assessment

7.3.1 The Contractor shall include in the HSWMP a documented audit and inspection process describing how audits and inspections will be carried out, how findings will be recorded and how corrective actions will be tracked and closed.

7.3.2 Contractor managers and supervisors shall participate in scheduled work area inspections and audits at a frequency appropriate to the scale and risk profile of the Project. All findings shall be documented and corrective actions assigned, tracked and closed within agreed timeframes. The HSWMP shall describe the corrective action close-out and verification process.

7.3.3 The Engineer may conduct periodic health and safety assessments of the site. The Contractor shall provide reasonable access to relevant safety processes, files and records and participate in assessments when requested. Following each assessment, the Contractor shall address identified issues and provide a written close-out report in accordance with Appendix 12 – HSW Monitoring Toolkit.

7.3.4 For projects lasting two years or more, the Contractor shall engage an independent third-party auditor, approved by the Engineer, to conduct an annual health and safety audit. The audit report and recommendations shall be provided to the Engineer along with an action plan. The Contractor shall demonstrate that all agreed actions have been implemented promptly and effectively. For projects of less than two years, a third-party audit is not mandatory but may be agreed where the risk profile or performance concerns indicate that additional assurance is required.

## **8 List of HSW Appendices**

Appendix 1: Watercare Health, Safety and Wellbeing Commitment and Strategic Pillars

Appendix 2: Framework- Health Safety and Wellbeing Leadership Workshop

Appendix 3: Contractor Reward and Recognition Guidelines

Appendix 4: Contractor HSWMP Minimum Requirements

Appendix 5: Contractor's Health and Safety Resource Requirements

Appendix 6: Safety Review Group (SRG)

Appendix 8: Scope and Methodology for the Health Safety and Wellbeing Survey

Appendix 9: Health and Safety Performance Index (HSPI) Framework Guideline

Appendix 11: Watercare Monthly HSW Reporting Template

Appendix 12: HSW Monitoring Toolkit

Appendix 13: Minimum Required Content and Structure of Contractor' HSW Induction

Appendix 15: Watercare Guidelines for Contractors on Incident Management

Appendix 16: Personal Protective Equipment Minimum Requirements

Appendix 18: Incident Notification, Classification, and Investigation Requirements

END OF SECTION