

Ashburton District Council Approved Contractor Booklet



Contents

Ashburton District Council Commitment.....3

Approved Contractor Limitations3

How do you apply to become an Approved Contractor?3

The Approval Process.....3

Definitions.....4

Approved Contractor Application Form5

Supporting Information Checklist.....6

 Helpful Information:.....7

Approved Contractor Health & Safety Obligations8

Approved Contractor Application Declaration9

APPENDIX 1: Technical Skills, Qualifications and Attributes10

Infrastructure Assets Endorsement11

Infrastructure Assets Endorsement Evaluation and Demonstration Criteria12

APPENDIX 2: Application for Infrastructure Assets Endorsement:13

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Document Control

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Ashburton District Council Commitment

Approved Contractor Limitations

An approved contractor status does not give you authority to work without approved formal agreements or permits, or without Ashburton District Council's knowledge, nor does it guarantee the continuation or a set volume of work.

Advertisement or insinuation of endorsement of Approved Contractor Status for commercial gain will not be tolerated as Council does not provide preference for one contractor over another when such lists are provided to private clients.

How do you apply to become an Approved Contractor?

Complete all relevant sections of the Approved Contractor Application Form and submit the required documentation and evidence to support your application. Incomplete applications will be returned.

The **Approved Contractors Application Form** includes the following sections

- General Contractor Details
- Supporting Information Checklist
- Contractor Health & Safety Obligations
- Contractor Declaration
- Appendix 1 - Technical Skills, Qualifications and Attributes (*Required if Training & Competency Register not provided*)
- Appendix 2 – Infrastructure Assets Endorsement (*Required if contractor performs this type of work*)

You should also complete the relevant Endorsement section(s) relating to the nature of your work or business with council.

Available Endorsements:

- Infrastructure Assets (Roading, Water, Wastewater and Stormwater)

Please submit your completed application and all attached documentation to the relevant Council employee or alternatively applications@adc.govt.nz.

The Approval Process

Submitting of the Approved Contractor Application form to Council does not give you Approved Contractor Status.

Each application will be evaluated via a pass/fail system. Once evaluation has been completed, you will be advised of the outcome. If your application is declined Ashburton District Council is not bound to give reasons for its decision.

Definitions

In these terms and conditions, unless the context otherwise requires:

Definition	Meaning
ADC	Ashburton District Council
Approved	Approval will be given in writing by Council
Approved Contractor Register	A register held by the Council, recording the names of Approved Contractors.
Approved Contractor (Approved Contractor status)	Company or organisation approved* by the Council to carry out and control authorised work for the Ashburton District Council. <i>* Additional endorsements may be required to work in specialised areas such as Roothing or Water Networks. Refer to Endorsement definition.</i>
Authorised Work	Work that requires a Written Approval or Permit/s prior to work commencing onsite.
Connection	Any physical joining of any new pipe to the Council's existing reticulated network.
Contractor Representative	A person named by the Contractor in the Contract or appointed from time to time by the Contractor, who acts on behalf of the Contractor and can receive any instruction on behalf of the Contractor.
Defect	A shortcoming, fault, or imperfection.
Endorsement	Additional approval to carry out a specific type of work, or to work for a specific department of Council. Endorsements may take account of non-Health and Safety factors, e.g. a track record of quality, service level commitments, or relevant certifications
Infrastructure Assets	Water, Wastewater Stormwater; or Roothing networks
HSWA 2015	Health and Safety at Work Act 2015. This is New Zealand's key work Health and Safety law.
Non-compliance	Failure or refusal to comply, with a law, regulation, or term of a contract. E.g. a non-compliance could be the result of refusing to remedy a defect after a request to remedy a defect has been requested.
PCBU	Person Conducting a Business or Undertaking
Road	All land within the legal boundaries of a road, including road as defined in the Local Government Act 2002 and reserves for Roothing purposes under the Reserves Act 2002.
Service Connection Permit	Council's written approval for the owner to carry out specified authorised work to connect to Council utilities infrastructure.
Site	The location where work is being undertaken.
Subcontractor	Person or company awarded a portion of an existing contract by the Approved Contractor. A subcontractor performs work under a contract with the Approved Contractor, rather than Ashburton District Council who hired the Approved Contractor.

Approved Contractor Application Form



Applicant:	
Full Name or Company Name	Bob Brown
Trading As	Bob Brown's Lawn Mowing
Physical Address	12 Horseshoe Lane
Postal Address	PO Box, Ashburton
Contact Person	Mary Brown
Contact's Details	Phone: 0274 123456 Mobile:
Contact's Email	Bob.brown@yahoo.co

Please give a brief outline of the type of work your company undertakes	
Lawn mowing, spraying and trimming trees	
Are you applying for any "Endorsement" ie Infrastructural Assets	YES/NO

Please specify any current Health & Safety Accreditation		
Eg – Site Wise % Rating, External Audit of NZS480, Telarc, ISO	Date of Accreditation	Evidence Attached
None		

Supporting Information Checklist

Where you have marked “Yes” please **attach evidence** with your submission.

Item	Description	Yes	No
Safety Policy & Management Commitment			
1.	Do you have a written Health and Safety policy?	✓	
2.	Do you have a Drug and Alcohol Policy?		✓
Procedures			
3.	Does your company have a safety induction program?	✓	
4.	Is there a regular inspection of all plant, vehicles and equipment owned by the company?	✓	
5.	Do you have any Standard Operating Procedures (SOPs)?		✓
Hazard Management			
6.	Is there a systematic process for identification and control of significant hazards and risks?	✓	
7.	Are general workplace inspections conducted regularly?	✓	
Training & Supervision			
8.	Do you have a Training and Competency Register? <i>(This should identify if personnel are trained as per best practice/ACOP for work related activities, trained in the safe use of all plant, equipment and personal protective equipment, and can demonstrate relevant experience, technical skills and qualifications)</i> If 'No', please complete Technical skills, Qualifications and Attributes Appendix		✓
Accident Investigation			
9.	Does your company have a written procedure for accident investigation, reporting and analysis?	✓	
10.	Do you provide transparency to workers around investigation outcomes and disclose findings? <i>(Evidence may be meeting minutes or bulletins to all staff.)</i>	✓	
Performance			
11.	Can you provide accident statistics for the past 5 years?		✓
12.	Has your company been convicted of a Health & Safety offence?		✓
13.	Has your company been investigated, or received a written warning from WorkSafe for any incident/accident including serious harm or fatality?		✓
14.	Has your company applied/entered into an enforceable undertaking with WorkSafe?		✓
15.	Has your company incurred any work days lost due to employee injury you have recorded in the past 12 months? If yes please supply number of days lost.	✓	
Engagement & Participation			
16.	Are workers consulted and provided opportunities for input in resolution of hazards and risks?	✓	
17.	Do workers/subcontractors have input into specific on-site hazards and risks associated with contracts?	✓	
18.	Does your company have a workplace Health & Safety committee?		✓
Emergency Plans and Procedures			
19.	Do you have emergency plans and/or procedures?	✓	
20.	Do you regularly maintain your company's emergency plan or procedures?		✓
21.	Are staff informed and have they received training on emergency procedures?	✓	
Sub-Contractor Management			
22.	Do you use sub contractors, If 'no' proceed to question 27.		✓
23.	Do you have criteria and processes you use for selecting subcontractors?		
24.	Do you monitor subcontractors through the duration of engagement to ensure all requirements are met? <i>(Evidence may include a monitoring schedule or procedure.)</i> If NO please explain how you confirm Health and Safety compliance.		
25.	Are subcontractor post-engagement or contract reviews undertaken?		
26.	Have you terminated or suspended a subcontractor on the grounds of Health & Safety?		

Insurance			
27.	Do you have Public Liability Insurance	✓	
28.	Do you have Motor Vehicle Insurance	✓	
29.	Do you have Plant Insurance	✓	
References			
30.	Can you provide information regarding the three most recent contracts completed by your company and ensure the following is included: <ul style="list-style-type: none"> - Type and description of work - Client and contact details - Number of person days on contract - Number of lost time injuries/total days lost to injury 	✓	

Helpful Information:

The following information provides greater details as to the terminology used within the above checklist.

Safety Policy and Management Commitment: These documents, set out your company's vision for workplace health and safety, your objectives, the commitments of management and your workers' obligations. It should be signed by an 'officer' of your company (as per the HSWA 2015) and have been endorsed within the last 12 months.

Hazard Management/Control of Risks: Is the identification and control of hazards or significant hazards you may encounter as part of your work. Your evidence is most likely to be your hazard identification tools (such as completed workplace inspection forms and hazard identification reports i.e. SSSPs, JSAs, JSEAs or TAs). These tools show how you assess risk and decide on control measures, as well as how those control measures are put into practice and checked.

Training and Supervision: General examples are driver licences or trade certificates. You should also include risk-specific training (e.g. working at height, confined spaces or first aid) or industry-specific training, maybe from a supplier (e.g. safe operation of a concrete cutter). Refresher training is also relevant and should not be excluded.

Engagement and Participation Practices: This shows how you engage with your workers and sub-contractors on the best way to manage risks. Good examples would be toolbox talks, pre-start, tailgate meetings, Take5 discussions, best-practice guidelines, approved codes of practice and industry briefings.

Emergency Plans and Procedures: These serve as a guide to how to respond to an emergency and define responsibilities or specific tasks that may occur in an emergency. No one expects you to be able to plan for every kind of emergency but you should have a good idea of the risks you face at work, given your specific industry and location. It's about being prepared for the scenarios most relevant to your situation. Some emergencies you might need a plan for include:

- Natural hazards such as earthquake, flood or fire;
- Health emergencies like workplace incidents, medical emergency or animal attacks;
- Hazardous substance event such as chemical spills;
- Utility failures such as electricity outages.

Approved Contractor Health & Safety Obligations

This section outlines the responsibilities and expectations of an Approved Contractor.

We, the Applicant

1. Understand our obligations to ourselves our employees, our subcontractors and their workers under the Health and Safety at Work Act 2015 and confirm our intention to comply at all times while working for Ashburton District Council.
2. Recognise that the Ashburton District Council is responsible only for advising the nature of, and methods of controlling, hazards specific to the Ashburton District Council's business or worksites and that we shall apply best industry practice to ensure the safety of all involved at all times.
3. Understand that for work undertaken on an Ashburton District Council site i.e. Buildings or Plant, the Ashburton District Council will advise the Contractor of emergency procedures, location of emergency equipment, location and use of safety equipment, basic safety rules, hazards and hazard controls, go and no-go areas and access and authorisation requirements relevant to the service being performed.
4. Shall ensure that all subcontractors, workers, volunteers, visitors and all staff on work experience or on-the-job training are informed of this information (see points 2 and 3) and that no person shall be permitted to work on the work site without being so informed.
5. Have a Health and Safety management system in place, which ensures compliance with the Health and Safety at Work Act 2015.
6. Agree to make available for inspection on demand by the Ashburton District Council any documentation related to Health and Safety in relation to our engagement.
7. Acknowledge that Ashburton District Council has the right to monitor our activities to carry out safety audits from time to time during the progress of the work that we have been engaged for.
8. Acknowledge that Ashburton District Council has the right to suspend work at our expense where the Ashburton District Council is not satisfied that all reasonably practicable steps are being taken to ensure the Health and Safety of workers and others in connection with the contract.
9. Will advise the Ashburton District Council immediately of any notifiable events, incidents, injuries or illness as per sections 23, 24 and 25 of the Health and Safety at Work Act 2015.
10. Will advise the Ashburton District Council immediately of any new hazard identified or created during our engagement and will take all reasonably practicable steps to avoid harm being caused to any person as a result of such hazards.
11. Will carry out a systematic identification of hazards likely to be encountered and will develop controls for all those identified as being significant hazards and advise the Ashburton District Council. We will do this prior to commencement of works.
12. Acknowledge that we have a duty, so far as reasonably practicable, to consult, co-operate and co-ordinate with the Ashburton District Council on Health and Safety matters.

Approved Contractor Application Declaration

We, the Applicant

1. Agree to the Approved Contractors Health & Safety Obligations.
2. Have read ADC's *Health & Safety Approved Contactor Booklet* which includes the *Evaluation and Demonstration Criteria* for the relevant Endorsement and we have supplied all required information to support our application.
3. Confirm that all the details in this application are complete and accurate in all respects and I/we understand that if any false information is given or any material fact suppressed in this application, the company may not be accepted. If the company is already health and safety approved, this status may be revoked.
4. Agree when performing any authorised work to:
 - Comply with all reasonable directions given by the Council;
 - Shall comply with all relevant legislation, regulations, specifications, standards, and codes of practice relevant to the activity being undertaken.
 - Upon completion of the work or work day, leave the area in a clean, tidy and safe condition;
 - Be able to be contacted by the Council at all times while performing the authorised work and at other times during normal business hours (except in the case of an emergency)
 - Ensure that all consents and permits required by law or otherwise for the performance of the authorised work are in place prior to any physical works commencing.
5. Agree to advise Ashburton District Council of any changes in procedures, standards, performance or key personnel. We understand we may be required to provide additional information to support the application for Approved Contractor status with or without any Endorsement. We understand information provided on this Health and Safety Approved Contractor form will be collected and held by the Ashburton District Council.
6. Agree that the Ashburton District Council and its advisors may obtain and use such information about the applicant as the Council considers appropriate from any referee named in this application, or from any other person, for the purpose of evaluating the application.
7. If approved to be Approved Contractors we agree to be bound by the terms and conditions set out by the Council, which may change from time to time.
8. Agree that the Approved Contractor status and or any Endorsements may be withdrawn or suspended at any time. We will receive confirmation of this withdrawal/suspension in writing including the reasons. No further work will be permitted until we are successful with a new application, or in the case of suspension, by providing evidence that the corrective measures have been put in place.
9. Agree and acknowledge that immediate suspension will occur should our Public Liability, Vehicle or Plant Insurances lapse or expire, until a new certificate is provided. If any of our Insurances are due to expire during a period of work for the Ashburton District Council, we will provide an updated certificate 30 days prior to the expiry or a letter from the Insurer confirming the continuation of cover.

Signed on behalf of the applicant:

Bob Brown _____
(Applicant or Company Representative Name)

Owner/Manager _____
(Designation)

Bob Brown _____
(Signature)

1/7/2018 _____
(Date)

APPENDIX 1: Technical Skills, Qualifications and Attributes

If you answered 'no' to question 9, stating that you do not have a training or competency register you must nominate key personnel in the table below and attach a curriculum vitae (CV) or dossier for each person.

The CVs or dossiers must demonstrate specific experience relevant to the position they hold and should identify technical skills, qualifications and training. Each CV may be no more than 2 pages.

If the applicant is unsure which personnel information to supply it is recommended that the applicant nominate up to two people for each responsibility, provided that one of the nominated people for each responsibility will be on-site during the possible engagement by Ashburton District Council.

Position (if applicable)	Name	CV Attached
Contractor's Representative:	Bob Brown	✓
Manager:	Bob Brown	✓
Supervisor(s) / Foremen	Mike Brown	✓
Health & Safety Contact:	Mike Brown	
Workers Names:		
(Other position titles not mentioned above)		

Infrastructure Assets Endorsement

General Information

Ashburton District Council's Service Delivery Group has a register of Contractors who are the only contractors approved to undertake work on Council administered infrastructure assets. These are Water, Wastewater, Stormwater and Rooding networks. The register outlines the permitted activity for each approved contractor and their contact details. The Approved Contractor register will be available from the Council offices or online at www.ashburtondc.govt.nz and will be provided to members of the public when they are making applications for services i.e. water connections or vehicle crossings.

The Ashburton District Council shall not be held liable for the contractor's poor workmanship or damage caused during, or as a result of their operations. Contractors shall provide, on an annual basis, their current Public Liability Insurance certificate, to a minimum value of \$2,000,000.00 along with a current Plant and Motor Vehicle Insurance certificate.

Approved contractors may not commence any work until Permits relating to the work being undertaken have been issued by Ashburton District Council. This may include proof of permission from any adjoining landowners when the authorised work crosses property boundaries. The approved contractor shall retain possession of the associated Permit and the CAR (Corridor Access Request) and WAP (Works Access Permit) at the site at all times while the authorised work is proceeding.

Applications for this Endorsement must be made by the 15th of December and June. Late applications will be held for the following intake.

Evaluation process

Each application will be evaluated as described on the following page via a pass/fail system across the following areas:

- Management and Technical Skills
- Track Record
- Resources
- Quality Assurance and As-built plans

Suspension or Cancellation of Registration

Being an endorsed contractor comes with responsibilities. If you do not meet these requirements consistently, your endorsement can be suspended temporarily or cancelled until you reapply successfully. Either of these measures means you must immediately stop all work covered by the endorsement.

We will notify you of breaches of your responsibilities through non-compliance notices. You need to remedy any non-compliance notified to you immediately. Your endorsement will be suspended temporarily if a non-compliance is not resolved within 5 days, or a timeframe agreed with Council. If a non-compliance is still outstanding after 30 days your endorsement will be cancelled.

Your endorsement will also be cancelled if you are issued with three or more non-compliance notices in a rolling 12-month period.

If your endorsement is cancelled or suspended, Council reserves the right to engage another endorsed contractor to complete all the works currently under way under your endorsement, and all costs associated with this will be recovered from you. This includes any of your work site defects that may arise during a Maintenance and Warranty Period.

Minor defects will not automatically lead to a non-compliance notice unless they are not rectified in a timely manner.

Maintenance and Warranty Period

As an endorsed contractor, you are subject to a 24-month Maintenance and Warranty Period¹. In this period you must remedy any defects in workmanship or materials or any slumping of trenches relating to work you have carried out. Remediation must be completed within 10 working days of being notified in writing of the defect.

If your endorsement is cancelled or suspended you are still fully liable for the maintenance and warranty period relating to your work undertaken as an endorsed contractor.

Infrastructure Assets Endorsement Evaluation and Demonstration Criteria

What this is

This means working on council assets for private clients who required connection to council's services such as vehicle crossings, water - wastewater connection, etc.

The nature of these works is technical and critical for our community health and wellbeing, **and therefore it cannot be subcontracted.**

Management and Technical Skills

The applicant shall submit details of management methods, skills and systems used to carry out the works applied for. Systems for recording, reporting and monitoring of works, including reinstatement, should be demonstrated and described.

Technical skills will be measured by both the applicant's familiarity with Council policy and standards, and by their willingness to ensure their staff are skilled to NZQA or industry standards.

The applicant shall submit details of key personnel to be engaged for the work applied for. This should show the person's involvement, their qualifications, skills and relevant experience. Updates of this information will be required by Ashburton District Council as personnel at your company change.

Track Record

The applicant shall submit evidence of their ability to complete the work to target performance levels. References for past works shall be included. Similar information shall be provided for any proposed sub-contractors. We may also use any other source of information available to us in the evaluation process.

Resources

The applicant shall describe the plant, equipment and sub-contractors to be used for the works applied for. Please note whether you own, lease or hire these resources.

Quality Assurance

Each applicant shall submit details of their Quality Assurance process and details of how these processes are implemented. Specific details are required for reinstatement and maintenance of reinstatement over the maintenance period for the works applied for.

As-Built Plans

Please provide an as-built drawing for evaluation. The approved contractor is responsible for recording as-built details of the completed works and is responsible for providing as-built plans to Council's requirements. The maintenance period for the authorised work will begin once the as-built plans have been submitted by the approved contractor and accepted by the Ashburton District Council.

¹ National Code of Practice for Utility Operators access to Transport Corridors

APPENDIX 2: Application for Infrastructure Assets Endorsement:

Contact Details for Public Distribution (i.e. Council's website)		
Company Name		
Postal Address		
Contact Person		
Contact Details	Phone:	Mobile:
Email		
Website		

Request endorsement consideration for the following areas:	✓
Water	
Construction of new water services – <i>This work provides for construction of connections to public water supplies to 600mm inside the boundary of existing properties. This includes metered supplies and mains extensions, but does not include the mains connection. The mains connection or tap is to be carried out by the Ashburton District Council's Water Maintenance Contractor.</i>	
Waste water	
Construction of new wastewater services – <i>This work provides for construction of a connection point on an existing public sewer, to 600mm inside the boundary of existing properties. Where there is no connection, the work provides for the construction of either an inserted Y-Junction, or a stub pipe and dropper (if required from a manhole) and occasionally a new manhole to be installed on a public sewer. This work may be on private property or in road.</i>	
Land Transport	
Construction of Vehicle Crossings – <i>Provides for the construction of the section of driveway from the front of the property boundary to the roadway. Includes both residential and commercial crossings.</i>	
Stock underpasses -Subject to engineering approval.	
Pipe Under Road - Install piping or pipes under district roads for private application.	
Oil on Road - To discharge a dust suppressant onto the road.	

Supporting Information Checklist	✓	✓
Management and Technical Skills documentation		Quality Assurance documentation
Track Record documentation		As-Built Plan drawing
Resources		

Declaration		✓
We agree that all authorised work will be performed to the standards set out within the Approve Contractor Declaration and in addition: <ul style="list-style-type: none"> - Will ensure all work is carried out to the Chain of Cleanliness and Worker Hygiene techniques and procedures as per industry best standard - Will not give any warranty or make any representation on behalf of the Council to the owner, or to any other person 		
Signature:	Date:	