



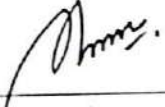






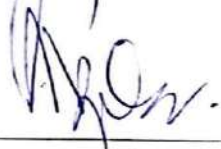


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# **PSM:12 CONTRACTOR SAFETY MANAGEMENT**

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### **DOCUMENT CHANGE RECORD**

| Version | DESCRIPTION OF CHANGE   | EFFECTIVE DATE |
|---------|---|----------------|
| 00      | Initial Version   | 10-08-2010     |
| 01      | Procedure aligned as per DuPont PSM Element 12 Contractor Safety Management requirements (DSS Recommendation)<br>Document number updated. | 31-03-2024     |
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## 1.0 **PURPOSE:**

The purpose of this procedure is to ensure that contractor safety requirements of Process Safety Management are met. Further, the health and safety aspects of contractor employees are also managed in a systematic way.

## 2.0 **SCOPE:**

This procedure is applicable across KE.

## 3.0 **DEFINITIONS AND ABBREVIATIONS:**

### 3.1 **Definitions:**

#### 3.1.1 **Facility**

Facility means buildings, containers and equipment which contain a process and equipment or civil structures which are under construction by the EPC.

#### 3.1.2 **Bid Package**

A complete set of documents (e.g., drawings, specifications, scope of work, site conditions, commercial documents, special conditions, general conditions, and applicable site procedures including HSE), which makes a bid, ready to be shared by KE to the potential contractors.

#### 3.1.3 **Contract**

A contract is a set of rights and obligations between KE and other parties created by agreement, regardless of the payment type (i.e. lump sum, unit price, time, and material) that is enforceable by law; and agreement between them to furnish goods and / or services in return of compensation.

#### 3.1.4 **Contractor**

A contractor is defined as any person / organization that works for KE, but not on KE payroll.

#### 3.1.5 **Contract Sponsor**


The department, BU or function that has budget and management authority to execute the Contract.

#### 3.1.6 **Contract Owner**

Any KE employee/user department who undergoes a contract with a KE registered contractor to take certain services or gets the work done. He/she will be accountable for the overall direction and coordination of all contracting activities being performed at site.

#### 3.1.7 **Contractor Employee**

A person employed by a contractor to carry out work under the terms of a contract.

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### 3.1.8 Job Method Statement

It is a document that outlines the detailed procedures and steps to be followed when carrying out a specific task or job.

### 3.1.9 Job Safety Analysis

Also known as Job Hazard Analysis/Task Risk Assessment, is a technique that focuses on job tasks to identify hazards before they occur. It focuses on the relationship between the worker, the task, the tools, and the work environment. Ideally, after you identify uncontrolled hazards, you will take steps to eliminate or reduce them to an acceptable risk level.

### 3.1.10 HSE Pre-Assessment

This is the process, adopted, before awarding contracts to potential contractors during the bidding stage.

### 3.1.11 KE Registered Contractors

A contractor who has been judged based on contractor registration process where the contractor has fully demonstrated their ability to deliver expected results.

### 3.1.12 EPC/EPCM Contractor

A specialized contractor responsible for the end-to-end management of engineering design, procurement of materials and equipment, construction, and commissioning of a project on a turnkey basis.

### 3.1.13 Procurement Manual

This manual provides complete guidelines for procurement of products and services from vendors, suppliers, and contractors.

### 3.1.14 HSE Representative

A person knowledgeable in safety, health & environment philosophy, practices, and procedures. Also a qualified and experienced person, who is authorized by KE to coordinate contractor safety.

### 3.1.15 Site

A geographically defined work environment that may contain one or more identified work area(s), or business operation(s). A site may also be referred to as an industrial complex.

For purposes of this document, the terms “site” and “facility” are used interchangeably.


### 3.1.16 Department Head

Department heads are the heads of plant, transmission departments, cluster heads and distribution allied departments.

## 3.2 Abbreviations:

|      |   |
|------|---|
| CRC  | Contract Review Committee                         |
| CPMC | Centralized Prequalification Management Committee |

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|      |   |
|------|---|
| FAC  | First Aid Case                                      |
| HSE  | Health safety and Environment                       |
| JSA  | Job Safety Analysis                                 |
| JMS  | Job Method Statement                                |
| MSA  | Management Safety Audit                             |
| NMS  | Non-Management Staff                                |
| PPE  | Personal Protective Equipment                       |
| PSM  | Process Safety Management                           |
| SPE  | Special Protective Equipment                        |
| SOP  | Standard Operating Procedure                        |
| TRA  | Task Risk Assessment                                |
| TRIF | Total Recordable Incident Frequency                 |
| TRIR | Total Recordable Injury Rate                        |
| EPCM | Engineering Procurement and Construction Management |
| TBT  | Toolbox Talk  |
| DES  | Distribution Electrical Services                    |

## 4.0 **ROLES & RESPONSIBILITIES**

### 4.1 **CHSEQ**


- 4.1.1 Shall ensure a standardized system of Contractor Safety Management across KE.
- 4.1.2 Shall ensure trainings are conducted on the requirements of PSM 12: Contractor Safety Management system for BU HSE and Line HSE Coordinators.
- 4.1.3 Shall ensure monitoring of this procedure through regular Audits.

### 4.2 **Procurement**

- 4.2.1 Shall ensure that the **HSE Pre-Assessment Form (Annexure I)** is shared with the contractor during the bidding process.
- 4.2.2 Shall ensure to share the filled HSE Pre-Assessment form along with the relevant documentation to BU HSE.
- 4.2.3 Shall consider the contractor for contract awarding only if they are declared qualified by BU HSE against HSE Pre-Assessment requirements.
- 4.2.4 Shall ask the contractors for additional HSE information if required.

### 4.3 **BU Head**

- 4.3.1 Shall ensure the implementation of this procedure in the respective department.
- 4.3.2 Shall ensure that all relevant employees in respective BUs are trained on the requirements of this procedure.
- 4.3.3 Shall ensure the governance of contractor's HSE KPIs in their respective Sub-A level HSE committee.

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4.3.4 Shall ensure the formation of CRC (Contracts Review Committee) in respective BUs as per **Annexure VII**

#### 4.4 BU HSE or Line HSE Coordinators (For Enabling Functions)

4.4.1 Shall review the HSE pre-assessment pack submitted by contractors and share recommendations to procurement.

4.4.2 Shall ensure to conduct trainings on the requirements of PSM 12: Contractor Safety Management system, for relevant Line Management.

4.4.3 Shall ensure to conduct HSE inspection and audit for projects and work sites where contractors are involved.

4.4.4 Shall ensure to maintain HSE performance data of all contractors and share with CRC for post-contract evaluation.

4.4.5 Shall ensure that contractor HSE KPI (**Annexure III**) is presented in Sub-A Level HSE Committee.

#### 4.5 CPMC (For BU Distribution)

4.5.1 Shall review HSE pre-assessment documents of contractors and share feedback to procurement.

4.5.2 Shall participate in a bid meeting with intended DES(s).

4.5.3 Shall maintain updated DES list readily available to concerned user.

4.5.4 Shall conduct interviews of DES(s) and survey of their offices / warehouses.

#### 4.6 Contractor

4.6.1 Shall ensure their registration with KE and provide all initial HSE compliance information and documentation.

4.6.2 Shall submit Job Method Statement (or Method Work Statement) to KE Contract Owner for high risks contracts.

4.6.3 Shall submit HSE Plan specific to the contract for High-Risk contracts with contract owner.

4.6.4 Shall submit Job Safety Analysis (JSA) also called Task Risk Assessment (TRA) for High-Risk contracts.

4.6.5 Shall subcontract only KE-approved part of the job after getting approval from contract owner in writing.

4.6.6 Shall agree to submit penalties to KE against clause 5.2.1.2.

4.6.7 Shall participate in bid meetings with HSE competent personnel.


4.6.8 Shall ensure the presence of dedicated HSE qualified staff on projects and work sites as per NEPRA Power Safety Code, legal and other requirements.

4.6.9 Shall ensure regular site visits for field HSE observations and take corrective actions.

4.6.10 Shall maintain and provide HSE data on regular basis (**Annexure IV**).

4.6.11 Shall comply with all applicable KE HSE policies and procedures.



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4.6.12 Shall ensure to provide competent and qualified workers relevant to the job requirements.

4.6.13 Shall provide required PPEs, SPE, First Aid Boxes/Facilities etc.

## 5.0 **PROCEDURE**


### 5.1 **Steps In Contractor Safety Management:**

Steps in Contractor Safety Management are:

- a) Contractor HSE Pre-Assessment
- b) Contract Preparation
- c) Contract Awarding
- d) Orientation and Training
- e) Monitoring and Performance Management
- f) Contract Evaluations and Records

### 5.2 **Contractor HSE Pre-Assessment Requirements:**

- 5.2.1 The purpose of this step is to ensure that the selected contractors are capable to perform as required by KE HSE standards.
- 5.2.2 Prior to awarding work, all contractors shall be registered with KE and provide a filled **HSE pre-assessment form** that should include all initial HSE compliance information and documentation.
- 5.2.3 The HSE Information and Documentation shall include, but not limited to, the following:
  - 5.2.3.1 Contractor's HSE Pre-Assessment form (**Annexure I**)
  - 5.2.3.2 HSE policy of Contractor
  - 5.2.3.3 Contractor HSE Management plan
  - 5.2.3.4 HSE Organizational structure along with qualification records
  - 5.2.3.5 Details of Contractor HSE, job related trainings and audit systems
  - 5.2.3.6 Overview of the Contractor's recent HSE performance
  - 5.2.3.7 Reference letter (if available) from previous clients
- 5.2.4 HSE Pre-Assessment of the contractors shall be carried out as per this procedure, and for BU Distribution DES assessment will be carried out as per (**KE-D/PQC 0001**).
- 5.2.5 The **HSE information and documentation** shall be reviewed during the pre-assessment process.
- 5.2.6 Assessment of **Annexure-I** shall be performed by assigning numbers as defined in the checklist.
- 5.2.7 Contractors scoring above 50% on assessment shall be declared as Pass, in parallel the contractors scoring less shall be asked for additional HSE information or documentation.
- 5.2.8 After acquiring additional HSE information, relevant HSE or CPMC shall decide to consider contractor for further process.

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### 5.3 Contract Preparation:

5.3.1 During contract preparation process, following requirements shall be made part of the contract document as a minimum:

#### 5.3.1.1 Scope of work

The objective and extent of work to be accomplished by a Contractor shall be mentioned clearly in Contract document.

#### 5.3.1.2 HSE performance expectations

The contract shall spell out the safety expectations and responsibilities of the contractor.

Expectations shall include:

- 5.3.1.2.1 Availability of qualified HSE personnel
- 5.3.1.2.2 Availability of trained HSE staff
- 5.3.1.2.3 Compliance of applicable KE HSE policies and procedures
- 5.3.1.2.4 Compliance with all applicable laws and regulations
- 5.3.1.2.5 Conducting regular safety audits and inspections
- 5.3.1.2.6 Reporting of all incidents
- 5.3.1.2.7 Daily / weekly safety talks (e.g. TBT)
- 5.3.1.2.8 Availability of certified tools and equipment
- 5.3.1.2.9 PPE compliance
- 5.3.1.2.10 Maintaining and sharing of HSE statistics (Manhours, TRIR, training records, incident records etc.) **(Annexure IV)**


#### 5.3.1.3 Penalties for Contract Breach on HSE Matters

Contract Owner shall develop penalization mechanism where any of the following actions by the contractor cause KE to incur losses or damages (Existing mechanism developed by CPMC can be referred – Sample Attached in the procedure).

- 5.3.1.3.1 Failure to perform HSE contractual promises.
- 5.3.1.3.2 Failure to exercise care to prevent injury to a person (willful misconduct)
- 5.3.1.3.3 Property damage

#### 5.3.1.4 Using approved Sub-contractors

- 5.3.1.4.1 The contractor shall subcontract only KE approved part of the job after getting approval from contract owner in writing.
- 5.3.1.4.2 The contractor shall use only KE registered contractors as sub-contractor.

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#### 5.3.1.5 Job Method Statement and Job Safety Analysis

- 5.3.1.5.1 Contractor shall submit Job Method Statement (JMS) to KE for High-Risk contracts.
- 5.3.1.5.2 Contractor shall submit Job Safety Analysis (JSA) also known as Task Risk Analysis (TRA) for High-Risk Contracts

#### 5.3.1.6 HSEQ Plan

- 5.3.1.6.1 Contractor shall share an HSE plan for all High Risks contracts by looking at the specific requirements as mentioned in the contract (**Annexure II**)
- 5.3.1.6.2 The plan shall outline the structure and means by which HSE will be managed by the contractor for the term of the contract.
- 5.3.1.6.3 The plan should also cover the specific HSE issues relevant to the contractor workers and document the systems and methods to be implemented to effectively manage risks.
- 5.3.1.6.4 For Short Form contracts, HSE plan requirement can be exempted after taking approval from department head.

#### 5.3.1.7 Contract Types – High Risks & Low Risks

##### 5.3.1.7.1 Low Risk Contracts

**Services Contracts:** Contracts in which different entities provide specific services like security, water supply, vendor/ supplier etc. to KE.

##### 5.3.1.7.2 High Risk Contracts

**Long Form Contract (LFC) or Long-Term Contract (LTC):** A form of contract where the value of the contract exceeds \$250,000, or the duration of the work is more than six months and there is risk of fatality or multiple LWIs.


E.g. EPC Contracts

**Short Form Contract (SFC) or Short-Term Contract (STC):** A form of contract where the value of the contract is less than or equal to \$250,000, and the duration of work is less than or equal to six months.

E.g. OSP Contracts

#### 5.4 Contract Awarding:

- 5.4.1 The Contract Owner shall review the HSE documentation, including the HSE Plan, JMS, certifications, trainings, and qualifications, provided by the Contractor.

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5.4.2 A formal meeting shall be held between the relevant contract owner and the contractor organization for all high-risk long-form contracts. For other types of contracts, contract owners may call pre bid meeting if needed.

5.4.3 The bid and award meetings may include the following people:

5.4.3.1 Contractor representatives who understand the financial impact of incorporating HSE expectations into their bid or proposal.

5.4.3.2 KE representatives and contractor representatives who have HSE competency.

5.4.4 Minutes of Meeting shall be recorded and included as part of the contract documents.

## 5.5 **HSE Orientation and Training:**

5.5.1 Before beginning work, all contractor workers shall attend a safety orientation conducted by KE personnel or the contractor themselves in coordination with the contract owner.

5.5.2 Safety resources may also participate, especially when there are many contractor workers, e.g. planned outages/ APM. For example, Line HSE coordinators and BU HSE.

5.5.3 Orientation and training requirements given in **Annexure V** shall be followed.

## 5.6 **Monitoring And Performance Management:**

5.6.1 KE shall conduct regular HSE inspections and audits to assess the HSE performance of contractor workers.

5.6.2 The contractor shall also perform regular HSE inspections and submit reports to the contract owner and relevant BU HSE.

5.6.3 HSE Inspections and Audits can be performed in teams, including representatives from KE and the Contractor.

5.6.4 Any unsafe act or condition identified during inspection and audit shall be communicated to the contractor for corrective actions.


5.6.5 In case of any non-compliance with contractual requirement, KE has the right to instruct the contractor for appropriate changes or impose penalties. The contractor may be asked to pay liquidated damages.

5.6.6 KE can stop work or take appropriate actions if HSE audits reveal that job conditions are not complying with KE HSE expectations.

5.6.7 Contractors shall ensure that all subcontractors meet KE HSE expectations (**See Clause 5.3.1.2 of this procedure**).

5.6.8 Any deviation in the contract HSE plan shall be duly communicated by the contractor and approval shall be taken from the contract owner.

5.6.9 All contractor tools and equipment shall be inspected by KE before entering at work site.

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5.6.10 The contractor should establish an HSE inspection/audit schedule in consultation with KE prior to commencement of the contract.

5.6.11 HSE Inspection and Audit schedule may be developed considering the risks involved in the contract work.

5.6.12 Monthly HSE meetings shall be conducted with the contract owner and contractor representative along with the HSE team from both sides.

5.6.13 Meeting frequency may be stringent based on the contract requirements and risk associated with the contract.

5.6.14 The contractor shall maintain and provide HSE statistics in monthly meetings. (Annexure IV)

#### 5.7 **Contract Evaluation & Records:**

5.7.1 After completion of work, overall HSE performance of contractor shall be evaluated by CRC (Contracts Review Committee).

5.7.2 Quantitative (e.g. Lost workday cases, injuries, illnesses, incidents etc.) and qualitative (Commitment to HSE, understanding of HSE, Behaviors observed etc.) evaluation shall be carried out by CRC and recommendations shall be given on Post Contract Evaluation Form (**Annexure VI**).

5.7.3 Result of evaluation shall be shared with procurement for record.

5.7.4 Following records should be retained by KE:

5.7.4.1 The contractor's risk assessment and HSE plan

5.7.4.2 Contract documents.

5.7.4.3 Workplace Audit / Inspection reports


5.7.4.4 Issued Work Permits

5.7.4.5 Minutes of safety meetings and site meetings

5.7.4.6 Incident investigation reports


5.7.4.7 Non-conformance reports

5.7.4.8 Any other notes

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## 6.0 **REFERENCES**

- 6.1 Procurement Manual
- 6.2 CPMC Manual
- 6.3 Annexure I – HSE Pre-Assessment Pack
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## **ANNEXURE I – HSE PRE-ASSESSMENT PACK**

| Contractor HSE Self-evaluation form (Pre-Assessment) |  |     |    |         |                 |
|--|--|-----|----|---------|-----------------|
| Contractor Name:                                     |  |     |    |         |                 |
| Contact #:   |  |     |    |         |                 |
| Person Providing Information:                        |  |     |    |         |                 |
| Designation:   |  |     |    |         |                 |
| Date:  |  |     |    |         |                 |
| Sr.#   | Checkpoints  | Yes | No | Remarks | For KE Use Only |
|  |  |     |    |         | Yes = 1         |
|  |  |     |    |         | No = 0          |
| 1  | Do you have a written HSE policy?  |     |    |         |                 |
| 2  | Do you have a HSEQ Management System Manual?   |     |    |         |                 |
| 3  | Is your company ISO 45001 certified?   |     |    |         |                 |
| 4  | Is your company ISO 14001 Certified?   |     |    |         |                 |
| 5  | Is your company ISO 9001 Certified?  |     |    |         |                 |
| 6*   | Does your company have qualified HSE personnel? (e.g. IOSH/ISO 45001 certified)                        |     |    |         |                 |
| 7  | Are HSE statistics available for the last 03 years? E.g., manhours, TRIR, near miss etc.               |     |    |         |                 |
| 8*   | Does your company have emergency management procedure?   |     |    |         |                 |
| 9  | Does your company risk management process clearly define?  |     |    |         |                 |
| 10   | Does your company have hazard and incident reporting procedure?  |     |    |         |                 |
| 11   | Do you have arrangements of welfare facilities for workers as per legal requirements?                  |     |    |         |                 |
| 12   | Do you have criteria for subcontractors' competence assessment?  |     |    |         |                 |
| 13   | Are there documented working practices / safety instructions to address your significant hazards/risk? |     |    |         |                 |
| 14   | Do you have a new employee safety orientation process?   |     |    |         |                 |
| 15   | Are you prepared to submit an HSE Plan before starting work?   |     |    |         |                 |
| 16   | Do you conduct safety inspections of equipment and work location?                                      |     |    |         |                 |
| 17**   | Do you have relevant licenses and permits?   |     |    |         |                 |
| 18**   | Do you provide Personal Protective Equipment to your worker?   |     |    |         |                 |


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|  |   |                              |  |                             |                         |
|--|---|------------------------------|--|-----------------------------|-------------------------|
| 19*  | Do you maintain employee files including but not limited to their health assessment record, licenses, qualification records, employment history, police verification, other legal requirements etc. |                              |  |                             |                         |
| 20   | Do you have 50% above staff as permanent employee including a certified first aider?  |                              |  |                             |                         |
| <b>Note: Attach relevant documents as evidence</b><br><b>*Mandatory requirements for high-risk contracts</b><br><b>**Mandatory requirements for low-risk contracts</b> |   |                              |  |                             | <b>Total = ( ) / 20</b> |
| <b>Any Other Comment:</b>  |   |                              |  |                             |                         |
| <b>Contractor Representative (Name and Signature):</b>   |   |                              |  |                             |                         |
| <b>For KE Use Only</b>   |   |                              |  |                             |                         |
| Satisfactory   |   | <input type="checkbox"/> Yes |  | <input type="checkbox"/> No |                         |
| <b>Comments:</b>   |   |                              |  |                             |                         |
| <b>KE Representative (Name and Signature):</b>   |   |                              |  |                             |                         |




|  |   |                 |                 |                 |                       |
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## **ANNEXURE II – HSE PLAN**

### **Project/Contract HSE Plan**

The following information should be included in the HSE plan.


- Company HSE Policy (approved by top management of company)
- HSE Responsibility and Authority
- Project/Contract Management Organization chart
- Legislative Requirements
- Near miss, accidents reporting and investigation system.
- General layout of the project
- Subcontractors & suppliers management system
- Site Security Plan and access control
- Non-conformance, Corrective and Preventive Actions system
- HSE Document Control & Recording System
- Safety Committees provision and arrangements
- Risk Assessment & Job Safety Hazard Analysis procedure.
- Safety performance monitoring procedure
- Emergency Management procedure
- Permit to Work System
- Orientation and Training Procedure
- Safe Work Practices
- Traffic Management System
- 3<sup>rd</sup> Party Certification of lifting and rigging accessories.
- etc.

|  |   |                 |                 |                 |                       |
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### **ANNEXURE III – CONTRACTOR HSE KPIs**

#### **CONTRACTOR HSE KPIs**

- Maintain TRIR below annual target of KE's TRIR
- Record and maintain Safe Manhours (days without fatality & LWI)
- Number of Incidents reported i.e. FAC, Near miss, MTC etc.
- Penalties imposed on Contractors during the project period.
- Number of Site Observations (Unsafe Act & Unsafe Condition)
- Number of HSE inspections conducted by qualified HSE personnel.
- Number of new Hazards identified during Project.
- Number of Safety orientations conducted.
- Number of environmental breaches
- Number of Property Damage and Vehicle Incidents

|  |   |                 |               |          |                    |
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#### **ANNEXURE IV – MONTHLY HSE DATA**

|                                      |  |                        |  |
|--------------------------------------|--|------------------------|--|
| <b>Contractor Name:</b>              |  | <b>Contract Title:</b> |  |
| <b>Sponsor Department:</b>           |  | <b>Location:</b>       |  |
| <b>BU:</b>                           |  | <b>Month:</b>          |  |
| <b>HSE Statistics</b>                |  |                        |  |
| <b>Number of Contract Workers</b>    |  |                        |  |
| <b>Manhours worked</b>               |  |                        |  |
| <b>Fatalities</b>                    |  |                        |  |
| <b>Restricted Work Case (RWC)</b>    |  |                        |  |
| <b>Medical Treatment Case (MTC)</b>  |  |                        |  |
| <b>First Aid Case (FAC)</b>          |  |                        |  |
| <b>Near miss</b>                     |  |                        |  |
| <b>Unsafe Act / Unsafe Condition</b> |  |                        |  |
| <b>Vehicle Accidents</b>             |  |                        |  |
| <b>Property Damage</b>               |  |                        |  |
| <b>No of HSE Meetings</b>            |  |                        |  |
| <b>No of Toolbox Talks</b>           |  |                        |  |
| <b>No of HSE Inspections</b>         |  |                        |  |
| <b>No of HSE Audits</b>              |  |                        |  |
| <b>No of Trainings</b>               |  |                        |  |
| <b>No of Penalties</b>               |  |                        |  |

**Contractor Representative (Name and Signature):**

**Contract Owner (Name and Signature):**

**HSE Representative (Name and Signature):**

|  |   |                 |               |          |                    |
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## **ANNEXURE V – ORIENTATION & TRAINING REQUIREMENTS**

1. HSE information to be shared with the contractor can be divided into three broad categories.
  - a. KE HSE expectations
  - b. General site information, including site procedures and rules.
  - c. Area-specific information such as relevant hazards, subsequent controls, and roles & responsibilities of workers for that project / activity, etc.
2. Orientation shall cover:
  - a. Emergency alarms and evacuation procedures
  - b. Electrical safety
  - c. Control of exit and entry to site and operating areas
  - d. PPEs
  - e. Traffic flow restrictions
  - f. General safety rules and procedures at KE
  - g. Major hazards & their subsequent controls
  - h. Fire Emergency
  - i. Incident Reporting etc.
3. Orientation & Training Documentation:

All orientation and training should be documented, and the documentation shall include:

- a. Delivery person name and qualifications
- b. Date and time.
- c. Name of participants
- d. Number of participants
- e. Material covered.
- f. Test results.
- g. Feedback