SEED CAMPUS

PARTICIPANT GUIDE

Contractor Safety Master Class

V2.0 – 28 February 2024

TKE

Contents

Welcome

Thank you for attending our Contractor Safety Master Class. It is hoped that this Program will assist you:

- With your understanding and perception of Contractor Safety as an integral aspect of our Business Operations.
- By increasing your skills in managing Contractor Safety and the interaction between TKE and those external parties we engage to assist with the installation, modernization, repair, servicing and maintenance of elevators, escalators and moving walkways.
- With raising your understanding and level of awareness about the specific TKE processes and controls around the selection, engagement, site commencement and ongoing monitoring and evaluation of Contractors.

Many thanks,

David Husoy (ANZ Managing Director)

As you work through this Master Class, be sure to take plenty of notes for future reference!

Outcomes we are aiming for

Attendance at this Contractor Safety Master Class is a requirement of an Enforceable Undertaking entered into by TK Elevator Australia Pty Ltd and Worksafe Victoria in August 2023 and relates to an incident that occurred on 19 May 2020. The outcomes we are aiming for in this Master Class are to raise your understanding and awareness of:

- The TKE processes around the selection, engagement, site commencement and ongoing monitoring and evaluation of Contractors.
- The importance of risk management activities including Pre-Start Risk Assessments and the development of appropriate SWMS that address “high-risk” work associated with construction projects and when Contractors are working in “high-risk operational” areas such as lift shafts, pits and motor rooms.
- The different obligations that exist and the distinction between Contractors engaged by TKE versus those engaged directly by our Customers and Clients.
- The importance of adequate oversight in the day-to-day interactions with Contractors and the management of any risks associated with these interactions.

Here are a few symbols you will find helpful in navigating the Participant Guide ：

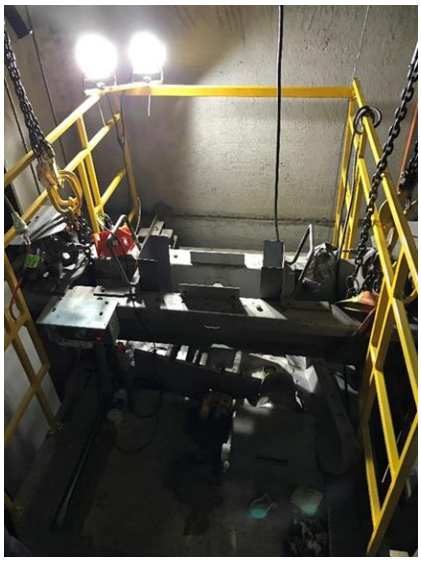
Symbol	Indication
	Content that is a Critical Skill to effective training. - Key points
	Action Learning exercises and materials. - Case study / Group Discussion / Role play
	Quick Questions for additional consideration.
	The end of a topic section.

Topic 1 – Background. Why are we here?

A subcontractor from Jim's Test and Tag was on top of an elevator car top with a TK Elevator employee (Employee 1) testing portable electrical equipment as part of annual test and tag requirements.

The subcontractor accidently knocked the testing / tagging machine (weighing approximately 2kgs) that was leaning on the handrail. The testing meter fell down the shaft (from level 13) hitting another TK Elevator employee (Employee 2) who was working in the lift shaft below them. The test machine scraped the employees back as it fell down the shaft and hit the back of his leg.

No medical attention was required, and the TK Elevator employee was able to resume his normal duties.



Topic 1 Background – Why are we here?

- What were the potential consequences?
- What type of questions or concerns do you have about this incident with the information you have been provided so far?
- How would you start an investigation into this incident? What types of things would look at or what documentation would you ask to see?
- What questions do you have about the Contractor Management processes that were implemented with the work this Contractor was engaged to perform?

Record your answers here.

Topic 1 – Background. Further Information

The subcontractor from Jim's Test and Tag was unfamiliar with working in a lift shaft and was not inducted to the hazards and risks of working at heights and objects falling from height. The subcontractor was on top of the lift car testing portable electrical equipment that was temporarily fixed / cable tied to the car top (the lift had full top of car handrails in place). A pre-start risk assessment and toolbox talk was completed by the team prior to the incident occurring but this did not include the subcontractor and was carried out prior to his arrival. The subcontractor was supervised by Employees on site however no additional pre-start / other risk assessment was completed by the Organisation prior to allowing access to the car top.

Testing and tagging electrical equipment whilst working at height and in the field was an unfamiliar task for all involved. Over previous years, testing had been conducted in the branch / warehouse which required the electrical equipment to be removed off site and bought into the warehouse for testing. A decision had been made by the organisation to arrange for the sub-contractor to test equipment in the field to minimise the impact on operations. A TK Elevator testing and tagging instruction had been issued regarding the testing and requesting that it was conducted in a 'safe' location, but this did not clearly stipulate to Field Employees the location or environment where testing was to be conducted on site.

Topic 1 – Background. Further Information

In the process of supervising the subcontractor up to the car top, communication was temporarily lost between Employee 1 and Employee 2 about their whereabouts and position in the lift shaft. In more detail:

- On arrival, the sequence of work was discussed by the group (Employee 1 and 2 and the subcontractor) and it was agreed that testing would first be conducted in the basement / carpark and then followed by testing of equipment in the motor room and then on the car top. Testing then began on the equipment by the subcontractor in the basement / carpark with both Employee 1 and Employee 2 present.
- After completing this, Employee 1 advised Employee 2 that he would accompany the sub-contractor to test equipment located firstly in the motor room and then on the lift car top. Employee 2 remained in the carpark supervising the sub-contractor's vehicle which was double parked. Employee 1 and the sub-contractor then left and headed to the motor room.
- After completing testing in the motor room, Employee 1 and the sub-contractor then headed to test equipment on the top of the lift car which was positioned on the 13th floor as discussed and agreed to earlier.
- At about the same time, Employee 2 left the carpark and decided to go to level 1 and access the lift shaft to prepare for the removal of a counterweight sheave. It is assumed at this point, that Employee 2 thought that Employee 1 and the sub-contractor were still testing equipment in the motor room.
- Employee 1 (now on the car top) was not aware that Employee 2 had left the carpark and had moved to level 1 on the scaffold platform in the lift shaft.
- Employee 2 did not 'hear' the testing meter as it fell down the shaft nor any other emergency instructions from Employee 1 and the subcontractor as they assumed that Employee 2 was still in the basement / carpark.
- There was no signage on either the top or the bottom of the shaft where work was taking place.

TK Elevator Safe Work Procedures (SWP's) and Contractor Management Procedures outline how work is conducted in the field including high-risk work and the processes for managing sub-contractors. In general and in most circumstances, working above or below other persons in the lift shaft should never occur and only subcontractors directly involved in the servicing, modernization, repair, or installation of elevator equipment should work in operational areas including the lift shaft, pit, top of car and motor room. In this case, a SWMS which addressed the hazards of working at height was not prepared, a pre-start risk assessment was not conducted prior to work starting and the sub-contractor was not trained in TKE's SWP's.

Based on this additional information, what further conclusions can you draw about the causes or contributing factors to this incident?

Topic 2 Contractor Safety – What Are Our Obligations?

- What are our obligations regarding Contractors?
- What are the existing processes / controls we have relating to Contractor selection and engagement, pre-start and site commencement and monitoring and evaluating safety performance?
- What are the issues we need to consider or different requirements between Contractors engaged to conduct work in lift shafts, pits, on top of elevator cars and in motor rooms when they are engaged directly by the Customer versus those engaged by TKE?

Record your answers here.

Topic 3 Contractor Selection & Engagement

- What types of things should we consider when selecting and engaging a Contractor for work?
- Think about the type of work to be performed.
- Is it high-risk work?
- Where is the work to be performed?
- Is there licensing requirements or qualifications required?

Record your answers here.

Topic 3 – Contractor Selection & Engagement

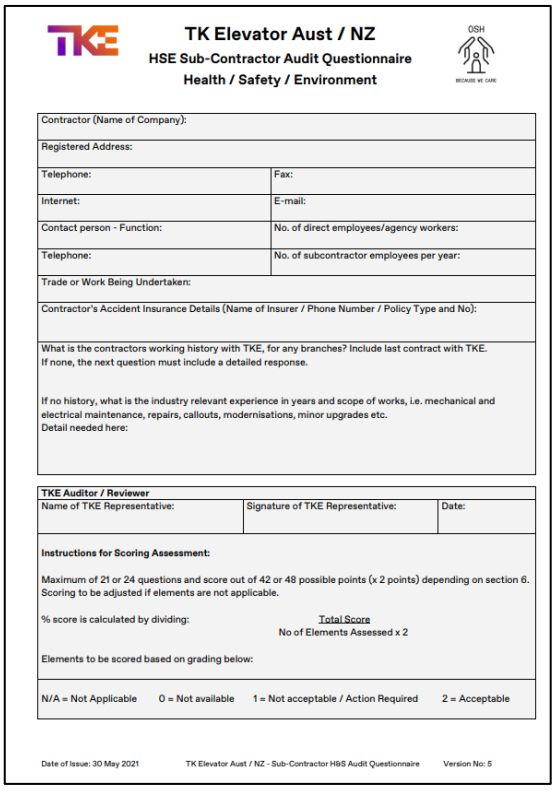
HSEQ Team conducts Sub-Contractor HSE Audit prior to approval.

Conducted prior to engagement and then every 2 years.

Must be approved before starting work.

Reviews Contractor Safety Systems, Insurances, SWMS, Training / Qualifications / Licences.

Other H&S systems including incident and hazard reporting, consultation, risk management, PPE and plant and equipment.



TK Elevator Aust / NZ
HSE Sub-Contractor Audit Questionnaire
Health / Safety / Environment

Contractor (Name of Company):	
Registered Address:	
Telephone:	Fax:
Internet:	E-mail:
Contact person - Function:	No. of direct employees/agency workers:
Telephone:	No. of subcontractor employees per year:
Trade or Work Being Undertaken:	
Contractor's Accident Insurance Details (Name of Insurer / Phone Number / Policy Type and No):	
What is the contractors working history with TKE, for any branches? Include last contract with TKE. If none, the next question must include a detailed response. If no history, what is the industry relevant experience in years and scope of works, i.e. mechanical and electrical maintenance, repairs, callouts, modernisations, minor upgrades etc. Detail needed here:	

TKE Auditor / Reviewer		
Name of TKE Representative:	Signature of TKE Representative:	Date:

Instructions for Scoring Assessment:

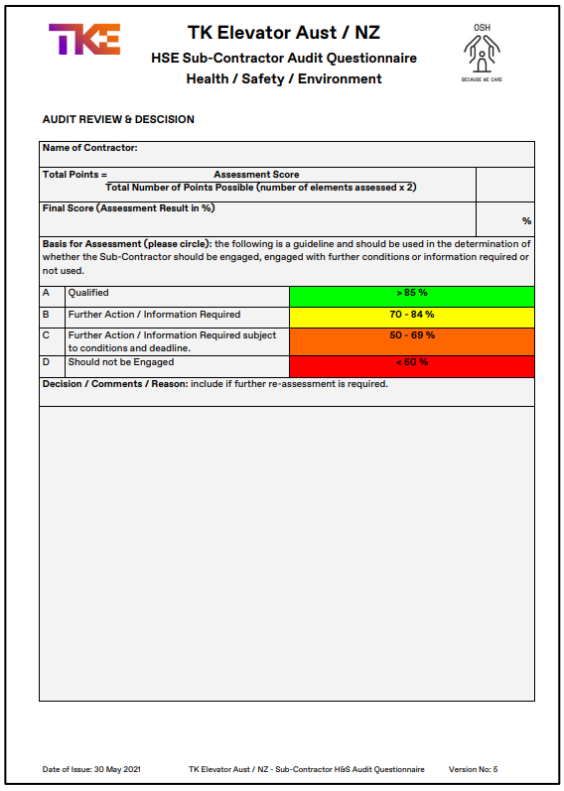
Maximum of 21 or 24 questions and score out of 42 or 48 possible points (x 2 points) depending on section 6. Scoring to be adjusted if elements are not applicable.

% score is calculated by dividing: Total Score / No of Elements Assessed x 2

Elements to be scored based on grading below:

N/A = Not Applicable 0 = Not available 1 = Not acceptable / Action Required 2 = Acceptable

Date of Issue: 30 May 2021 TK Elevator Aust / NZ - Sub-Contractor H&S Audit Questionnaire Version No: 5



TK Elevator Aust / NZ
HSE Sub-Contractor Audit Questionnaire
Health / Safety / Environment

AUDIT REVIEW & DESCISION

Name of Contractor:	
Total Points = **Assessment Score** / **Total Number of Points Possible (number of elements assessed x 2)**	
Final Score (Assessment Result in %)	%

Basis for Assessment (please circle): the following is a guideline and should be used in the determination of whether the Sub-Contractor should be engaged, engaged with further conditions or information required or not used.

A	Qualified	> 85 %
B	Further Action / Information Required	70 - 84 %
C	Further Action / Information Required subject to conditions and deadline.	50 - 69 %
D	Should not be Engaged	< 50 %

Decision / Comments / Reason: include if further re-assessment is required.

Date of Issue: 30 May 2021 TK Elevator Aust / NZ - Sub-Contractor H&S Audit Questionnaire Version No: 5

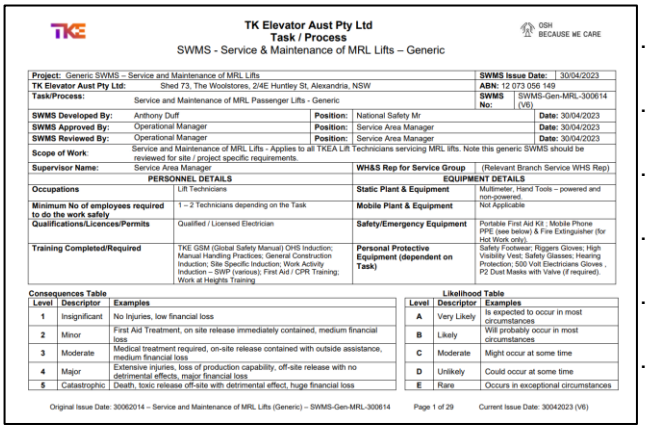
Topic 4 Site Commencement & Pre-Start

- What things need to be done prior to starting on site and prior to immediately conducting work?
- What approvals need to be provided?
- What documentation needs to be reviewed prior to starting on site and what task is required immediately before each task or at the start of each day?

Record your answers here.

Topic 4 – Site Commencement & Pre-Start

- Safety Induction
- SWMS Preparation, Review and Approval.
- Pre-Start Risk Assessment



TK Elevator Aust Pty Ltd
Task / Process
SWMS - Service & Maintenance of MRL Lifts – Generic

Project: Generic SWMS – Service and Maintenance of MRL Lifts			**SWMS Issue Date:** 30/04/2023
TK Elevator Aust Pty Ltd: Shed 73, The Woolstores, 2/4E Huntley St, Alexandria, NSW			**ABN:** 12 073 056 149
Task/Process: Service and Maintenance of MRL Passenger Lifts - Generic			**SWMS No:** SWMS-Gen-MRL-300614 (V6)
SWMS Developed By: Anthony Duff	**Position:**	National Safety Mr	**Date:** 30/04/2023
SWMS Approved By: Operational Manager	**Position:**	Service Area Manager	**Date:** 30/04/2023
SWMS Reviewed By: Operational Manager	**Position:**	Service Area Manager	**Date:** 30/04/2023
Scope of Work: Service and Maintenance of MRL Lifts - Applies to all TKEA Lift Technicians servicing MRL lifts. Note this generic SWMS should be reviewed for site / project specific requirements.			
Supervisor Name: Service Area Manager		**WH&S Rep for Service Group**	(Relevant Branch Service WHS Rep)
PERSONNEL DETAILS		**EQUIPMENT DETAILS**	
Occupations	Lift Technicians	**Static Plant & Equipment**	Multimeter, Hand Tools – powered and non-powered.
Minimum No of employees required to do the work safely	1 – 2 Technicians depending on the Task	**Mobile Plant & Equipment**	Not Applicable
Qualifications/Licences/Permits	Qualified / Licensed Electrician	**Safety/Emergency Equipment**	Portable First Aid Kit ; Mobile Phone PPE (see below) & Fire Extinguisher (for Hot Work only).
Training Completed/Required	TKE GSM (Global Safety Manual) OHS Induction; Manual Handling Practices; General Construction Induction; Site Specific Induction; Work Activity Induction – SWP (various); First Aid / CPR Training; Work at Heights Training	**Personal Protective Equipment (dependent on Task)**	Safety Footwear; Riggers Gloves; High Visibility Vest; Safety Glasses; Hearing Protection; 500 Volt Electricians Gloves ; P2 Dust Masks with Valve (if required).

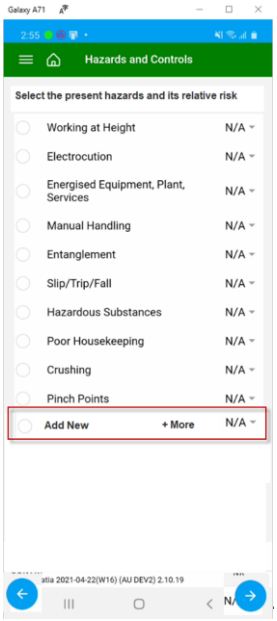
Consequences Table

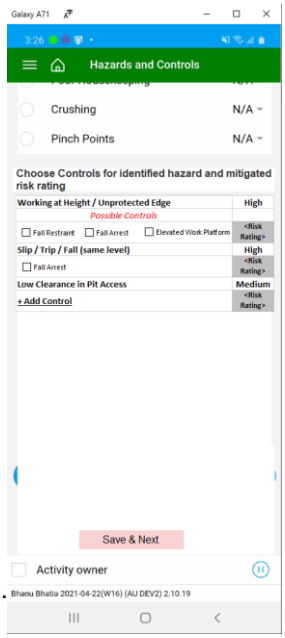
Level	Descriptor	Examples
1	Insignificant	No Injuries, low financial loss
2	Minor	First Aid Treatment, on site release immediately contained, medium financial loss
3	Moderate	Medical treatment required, on-site release contained with outside assistance, medium financial loss
4	Major	Extensive injuries, loss of production capability, off-site release with no detrimental effects, major financial loss
5	Catastrophic	Death, toxic release off-site with detrimental effect, huge financial loss

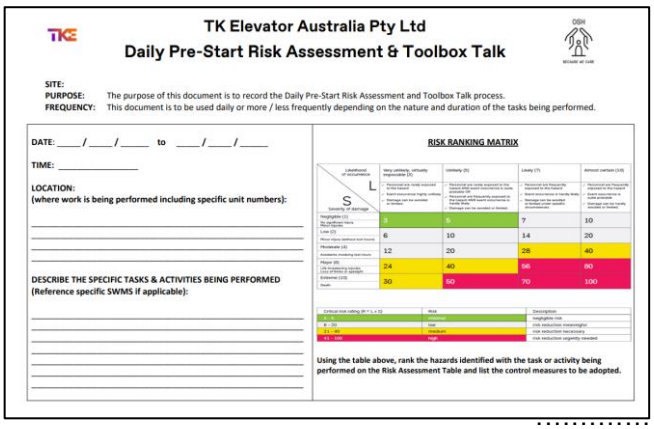
Likelihood Table

Level	Descriptor	Examples
A	Very Likely	Is expected to occur in most circumstances
B	Likely	Will probably occur in most circumstances
C	Moderate	Might occur at some time
D	Unlikely	Could occur at some time
E	Rare	Occurs in exceptional circumstances

Original Issue Date: 30062014 – Service and Maintenance of MRL Lifts (Generic) – SWMS-Gen-MRL-300614 Page 1 of 29 Current Issue Date: 30042023 (V6)







TK Elevator Australia Pty Ltd
Daily Pre-Start Risk Assessment & Toolbox Talk

SITE:
PURPOSE: The purpose of this document is to record the Daily Pre-Start Risk Assessment and Toolbox Talk process.
FREQUENCY: This document is to be used daily or more / less frequently depending on the nature and duration of the tasks being performed.

DATE: ____/____/_____ to ____/____/_____

TIME: _____

LOCATION:
(where work is being performed including specific unit numbers):

DESCRIBE THE SPECIFIC TASKS & ACTIVITIES BEING PERFORMED
(Reference specific SWMS if applicable):

RISK RANKING MATRIX

L \ S				
	3	5	7	10
	6	10	14	20
	12	20	28	40
	24	40	56	80
	30	50	70	100

Using the table above, rank the hazards identified with the task or activity being performed on the Risk Assessment Table and list the control measures to be adopted.

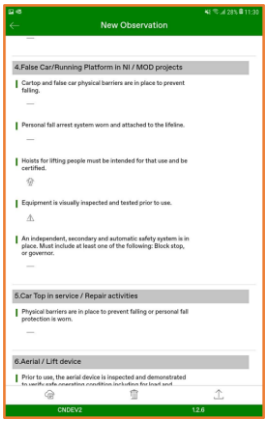
Topic 5 Monitoring & Evaluating Contractor Safety Performance

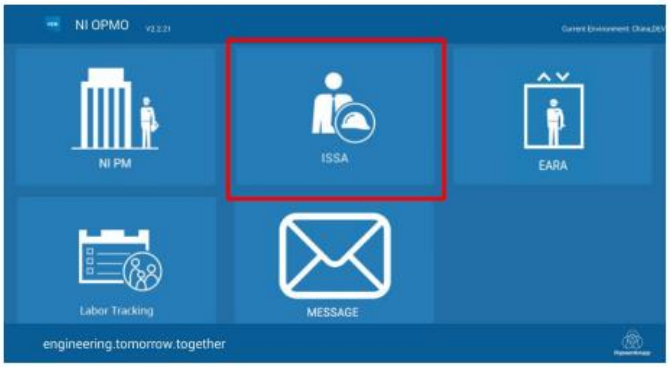
- How do we monitor and evaluate safety performance?
- What internal tools do we have or can we use to demonstrate monitoring of Contractor Safety performance?

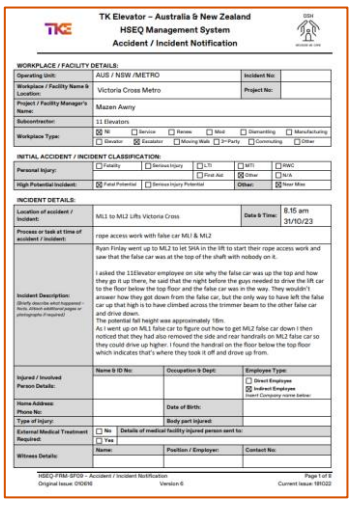
Record your answers here.

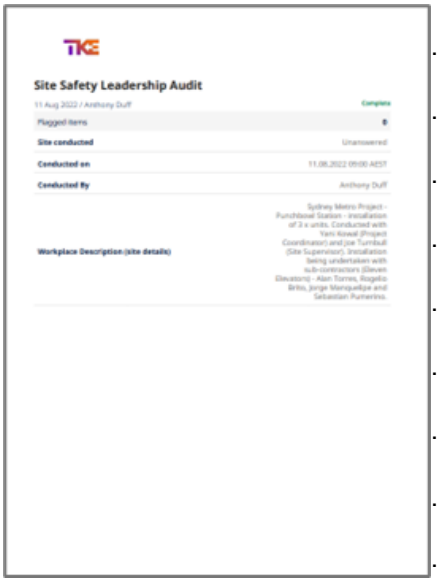
Topic 5 – Monitoring & Evaluating Contractor Safety Performance

- Safety Behaviour Observations
- ISSA (Installation Site Safety Assessment)
- SLA (Safety Leadership Audit)
- Review Incident Reports / Safety Breaches









Topic 6 CASE STUDY (1)

A TKE Customer has requested TKE provide access to the elevator pits at their building, so a plumber can complete waterproofing. There are multiple elevators on site and the work is estimated to take 11 days to complete. The Customer is engaging the Plumber directly. Ideally TKE would like to supervise the entire works but the Customer has just requested that TKE attend to provide access (open doors to access each pit). They are not wanting to pay TKE for 11 days of supervision.

How should TKE manage this situation?

What would be the minimum requirements for providing access into the lift shaft and complying with this request?

Record your answers here.

Topic 6 CASE STUDY (2)

TKE has been approached to upgrade the elevator systems, controllers and machines for a customer. The Building was constructed in the 1960's and there is Asbestos Containing Material throughout the building including the lift shafts, motor rooms and in the elevator systems and components eg limit switches, machine brake pads, lagging and insulation in the lift shaft. The Customer is wanting TKE to manage the entire project including any work to remove or treat the Asbestos material.

What risks need to be considered and what precautions / controls need to be implemented for the works to proceed?

What checks, processes, documentation and approvals need to be completed or obtained prior to the works commencing?

Record your answers here.

Topic 6 CASE STUDY (3)

A Customer's elevator pits have flooded following recent heavy rain. The lifts have been shut down by TKE with the water level in the pit covering some of the elevator pit equipment and circuits. The pits need to be drained first by a plumber to enable TKE Technicians to repair and replace some of the equipment. The Customer has contracted TKE to complete and manage all of the works required.

What risks need to be considered and what precautions / controls need to be implemented for the plumbers to access and work in the lift pits?

What checks, processes, documentation and approvals need to be completed or obtained prior to the works commencing?

Record your answers here.

Topic 6 CASE STUDY (4)

A TKE Customer has asked TKE to provide training to their Building Maintenance Officer to access the lift shaft and top of an elevator car and to train the Maintenance Officer in driving the elevator car on inspection. The Building Maintenance Officer is a licenced Electrician. The Customer is wanting to install fire safety systems in the lift shaft and is hoping the Maintenance Officer can drive the elevator car to provide their Fire Systems Contractor with access to all levels in the lift shaft.

How should TKE manage this situation?

Is there any circumstances we would provide this type of training?

Record your answers here.