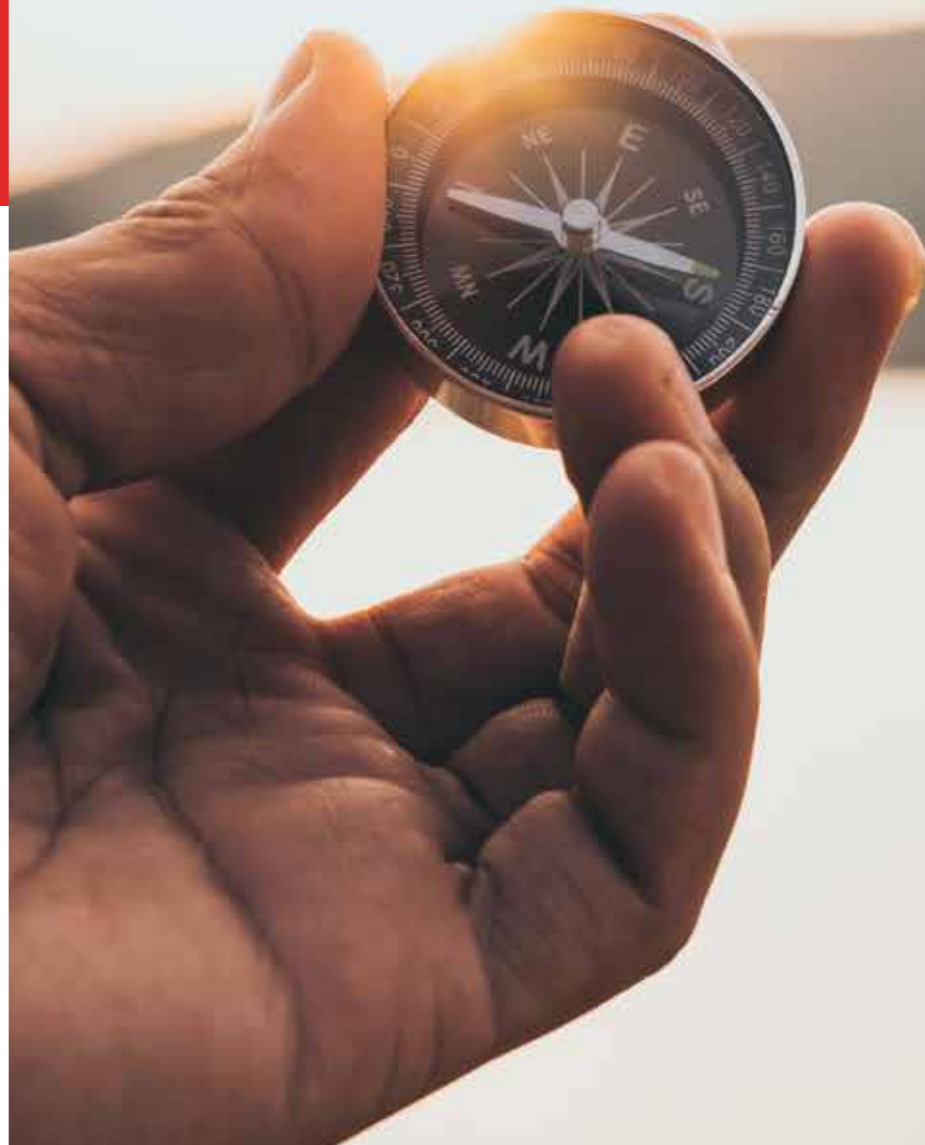


+IMPAC
PREQUAL

Identifying Safe Contractors



HELP GUIDE FOR
Contractors



Please Note:

This help guide is solely for use as an aid to assist you in completing your Prequal assessment. This guide is **NOT** intended for use in developing a Health and Safety Management System

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+ Using this Guide

This guide is designed to support your organisation to get the most out of the PREQUAL assessment process. It is divided into four sections. The first two sections may have already been covered if you attended the PREQUAL roadshow.

Section One introduces PREQUAL and the overarching purpose and benefits of PREQUAL assessment.

Section Two provides guidance on achieving the best results and getting the most value out of the PREQUAL process.

Section Three outlines the requirements of each question to ensure you know what is required as evidence. We recommend reading through this section to understand the assessment requirements. Questions are asked under the following headings:

- + Health and Safety Management Accreditation
- + Management, Supervision and Business Continuity (Cat 3&4 only)
- + Contractors and Subcontractor Management (Cat 3&4 only)
- + Health & Safety Management and Commitment
- + Safe Work Procedures and Practices (Industrial activities only)
- + Hazard Management
- + Incident Reporting and Investigation
- + Audit and Inspection
- + Involving Employees
- + Training
- + Plant, Equipment and Vehicles
- + Safety and Environmental Performance
- + Health and Safety Recognition
- + Environmental Management Systems and Performance (Cat 4 only)
- + Insurance
- + Referees

Depending on the size and nature of your business and work activities, some questions may not be applicable to your organisation. Additionally, if you hold one of the accreditations highlighted in the first section, some questions will be removed from your assessment. PREQUAL recommend taking the time to read this guide before doing the assessment. It is important that you gather the required evidence before trying to complete the assessment.

Section Four of this guide provides information to help you understand more about your workplace health and safety obligations and where to seek advice and guidance.

We hope you get the most out of the PREQUAL process and we invite you to call or email our team if you need any assistance. While we cannot provide answers to the questions, we can ensure you are on the right track.

+ Section One:

Welcome to PREQUAL

For many businesses one of their biggest areas of risk is the use of contractors and managing these contractors effectively is crucial.

PREQUAL is a client led prequalification service, applied consistently throughout New Zealand and has a substantial user base of key clients and contractors.

PREQUAL is not a “one size fits all” process and the questionnaires have been developed for contractors of different sizes and areas of activity. Questions are based on good practice and often reflect regulatory requirements.

PREQUAL is not a pass or fail system or a system audit. It provides clients with information so that they can work with you to reduce risk.

Benefits for Contractors

- + PREQUAL will provide an independent, professional assessment of your safety capability, commitment and competence allowing you to focus your resources where you can gain the most benefit.**
- + PREQUAL provides an opportunity to continually review your systems and identify areas for improvement. Contractors that periodically complete PREQUAL see a continual improvement in their Health and Safety systems.**
- + Significant savings in time and resource are one of the benefits to prequalifying with PREQUAL, as the one prequalification is accepted by all our Clients.**
- + You can use our logo on your documentation and website.**
- + You can be confident in our processes because our staff includes some of the best-qualified and most experienced health and safety professionals in New Zealand.**

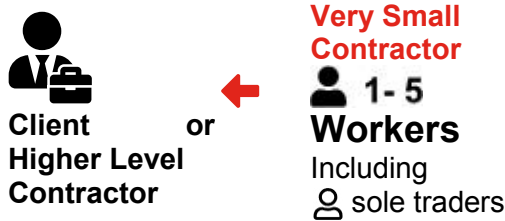
PREQUAL Categories

Prequalification questionnaires are customised to reflect the size and complexity of the contractor, so it is vital to ensure you are in the correct Category.

The categories, aside from that of a Sole trader, are outlined here and on the following page.

Category 1

A very small contractor from 1-5 workers may engage sole traders but does not engage any other subcontractor organisations.



Category 2

A small contractor from 6-15 workers may engage sole traders but does not engage any other subcontractor organisations.

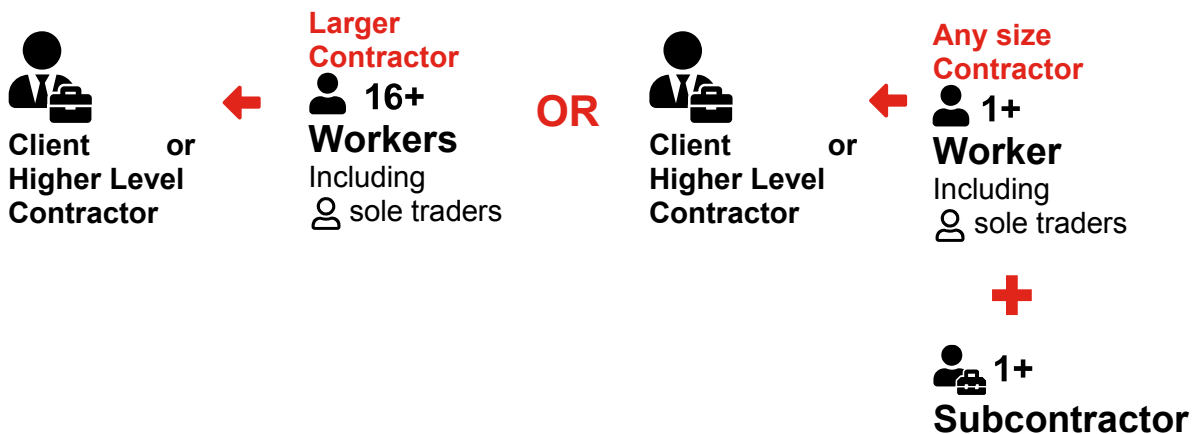


Category 3

There are two options to be in this category:

1. A larger contractor with 16+ workers.
2. Any size contractor but using one or more subcontractor organisations to help you carry out your work.

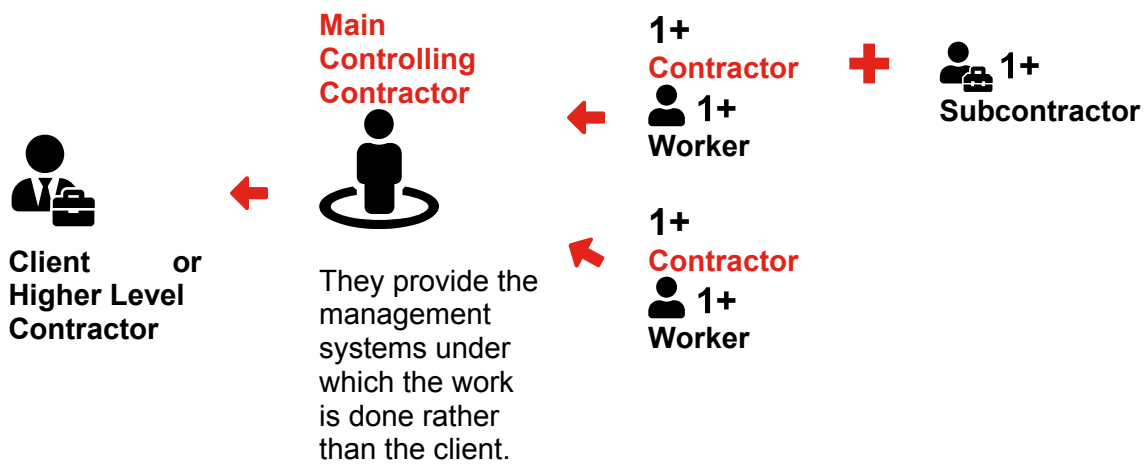
Please note: For the purposes of PREQUAL the term 'subcontractor' does not include using sole traders or contract employees.



Category 4

A Category 4 Contractor in PREQUAL usually:

- + Is employed directly by a client to control/manage entire job or project from beginning to completion.
- + Provides the health & safety management systems and process to be used for the work.
- + Sets the reporting requirements for contractors and subcontractors and reports back to client.



If in doubt whether you are a main controlling contractor, please call PREQUAL on **0800 773 782**.

Stages of the PREQUAL Process

There are 4 stages of the assessment process between the contractor adding information and PREQUAL assessing and reporting on evidence provided, these are outlined below:

1

Register

Go to www.PREQUAL.co.nz select Sole Trader or Company

Please note: Sole Trader refers to any sole proprietor business including limited liability sole traders.

Answer the registration questions which will allow the system to place you into the correct category.

2

Complete Questionnaire

After paying your application fee, complete all the questions asked. Submit your application for initial assessment.

3

Initial Assessment

Once submitted, a PREQUAL Assessor will complete an initial assessment of your evidence. Any questions requiring further clarification or evidence will be returned to you for an opportunity to submit further evidence.

4

Resubmission

Add any further information requested by your assessor. When complete, resubmit your application for final assessment.

5

Final Assessment

Once re-submitted, your PREQUAL Assessor will complete the final assessment and write your Prequalification Report. This report is what your Clients will have access to upon completion of the process.

+ Section 2:

Tips to do well in PREQUAL

- + Read through the assessment questions carefully. If needed, contact PREQUAL and a copy of the assessment questions can be emailed to you.
- + We recommend you ask others in your organisation, if needed, for required evidence. Discuss with your team and ensure you are obtaining all the Health and Safety information you need.
- + Make sure the key contact completing your questionnaire understands your business and is engaged in the process so that you reach the best outcome for your assessment.

Answering the Questions

Read the question requirements carefully. If needed, also refer to the information for each question in the following pages of this guide.

As you answer questions and upload evidence, a green tick appears on the left-hand navigation panel. There is no need to 'save' information as it will be autosaved. The questions can be answered in any order and you can go in and out of the assessment as many times as you like.

For all questions you will have the option of answering Yes, No or Not Applicable (NA). If answering Yes, the system will give you further information on the evidence required.

If answering No, you may not be given the opportunity to change your answer or resubmit evidence. This may result in a score of zero.

If you answer Not Applicable (NA) to a question, you must explain why the question does not apply to you in the text box provided. If your reasoning is accepted, the question will be removed from your assessment without penalty. If your assessor does not agree with your reasoning, or requires further information, you will be given a resubmission opportunity.

There are no limits in place for the number of files you can upload as evidence, however, between 1 to 5 documents should be adequate for each question.

Please note: There is a 20mb limit size for each file uploaded.

If evidence is part of a large document, upload only the relevant section as Assessors **will not** search for relevant material in large documents.

Keep the evidence targeted to the question.

Getting the Most out of the Resubmission Process

After an initial assessment, the assessor will make notes on any questions where the answer was not clear or further evidence is requested. Your assessment will then be returned to you for the opportunity to clarify or add further evidence to these questions.

There is a period of **7 working days** allowed for your resubmission. While not compulsory, it allows you to get the best outcome from the PREQUAL process.

When reviewing your resubmission opportunities, read the initial question carefully and recheck what you have submitted. If you have no further evidence or cannot add to what you have already provided, no further action is required. However, if you see you can clarify or add further evidence, do so. This may improve your final score.

Please note: The orange *i* will remain beside the resubmitted questions even after you submit further evidence.

If you have any questions regarding the Assessors feedback, contact PREQUAL via email at info@PREQUAL.co.nz or on 0800 773 782.

+ Section 3:

Questions

Health and Safety Management Accreditation

Please note: If your company does not hold health and safety accreditation, you will not lose marks.

If your company holds a PREQUAL recognised health and safety accreditation, you will not be required to provide evidence for some of the questions in the assessment.

These questions will be automatically removed when you answer yes to this question, however you still need to provide evidence of your health and safety accreditation in the form of a certificate.

Accepted health and safety accreditation includes:

- + ACC Workplace Safety Management Practices (WSMP)
- + Accredited Employer Partnership Programme
- + AS/NZS 4801
- + OHSAS 18001
- + ISO 45001

(Please note – WSMP accreditation will no longer be valid after 28 February 2019)

Please note: ACC Workplace Discount and Safeplus are not considered to meet the standard of health and safety accreditation required for PREQUAL and will therefore NOT be accepted.

Questions for Category 3 and 4 only



Category 1 & 2 contractors please start on page 14

Management, Supervision and Business Continuity

Organisational Chart

An organisation chart is a diagram of the structure of your organisation, showing the key relationships of the positions or jobs within it. Please include the names of the people within each position, as this will assist your Assessor to understand your organisation.

Business Continuity Plan

A business continuity plan identifies the potential risks and threats in relation to the critical operations of your business and outlines what you will do should disruption occur.

As a Category 3 or 4 organisation you may potentially be a critical supplier of services to clients, therefore this plan provides assurance of your ability to provide services to clients after a critical event.

Please note: This is not the same document as an emergency response scheme or evacuation plan.

Contractors and SubContractors

Contractor Management Procedure

A contractor management procedure is your overarching procedure or guideline for how you will manage your contractors and includes:

1. How you prequalify your contractors.
2. Contractor selection and minimum requirements setting.
3. Pre-commencement including induction and safety documentation (e.g. safety plans) sign off.
4. How you monitor and audit/review your contractors.

We will then ask more specific questions relating to each of the areas throughout this section.

Contractor Prequalification

A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required systems and capability to keep people safe.

A prequalification assessment checks the following areas of your contractors:

- + Management and commitment
- + Work procedures and documentation
- + Training
- + Hazard management
- + Incident management
- + Plant and equipment management
- + Monitoring and auditing

Contractor Minimum Health and Safety Requirements

Minimum Standards are an agreement between you and your contractors, outlining your expectations and the minimum standards you will accept from contractors. This should include adherence to legislative requirements, your health and safety systems and any other rules you have

Contractor Work Method Statements

(Some Category 4's Only)

Work method statements (WMS's) are a written description of how project work or longer-term service contract work will be carried out by an organisation (sometimes in conjunction with their subcontractors) and how hazards or risks are to be controlled.

They often consist of content falling between what is considered to be a Site-Specific Safety Plan and a Job Safety Analysis. Most WMS's would contain:

- + Description, timing & sequence of scope of works
- + Plant and equipment to be used
- + Materials to be used
- + Impact on other works
- + Hazard analysis (including any JSA requirements)
- + Loading/unloading and laydown requirements
- + Training & competency records
- + Traffic requirements
- + Emergency procedures for the work
- + Control of Subcontractors

Contractor Safety Key Performance Indicator's (KPI's)

Key Performance Indicators (KPI's) are quantifiable measurements that provide a measure of the health and safety performance of your contractors.

They're often categorised into lagging (reactive) and leading (proactive) indicators.

Examples include:

Lead (Positive) Indicators

- + Safety management activity completed
- + Audits and inspections completed
- + Training completed
- + Corrective action completion rates
- + Behaviour/attitude surveys completed

Lag (Negative) Indicators

- + Injury frequency and severity rates
- + Lost workdays
- + Property damage incidents
- + Costs

Contractor Induction

A contractor induction is safety training focused on the health and safety arrangements in place for the contracted works and the area in which it is taking place.

Please note: The question may ask for both induction content and completed inductions.

Content is the material and information you take your contractor through, often a hand book.

A completed induction is usually the signed checklist to indicate the contractor has understood the content.

Contractor Pre-start Meetings

Shift or daily pre-start meetings are held at a team level at the start of each day or shift to discuss the planned operations and requirements, including those relating to health and safety.

Often contractors will attend a wider meeting of contractors. Evidence of attendance to either wider prestart meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your staff) have attended these meetings.

Where possible, we recommend submitting consecutive minutes to show that these meetings are held regularly.

Project Control Meetings

(Some Category 4's Only)

Project meetings refer to meetings held at a project level where the stakeholders get together to discuss the project's goals, assigned tasks, progress and health and safety. They could include the project managers, client representatives and contractors.

Contractor Monitoring and Inspection

A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations.

This does not refer to a behavioural observation audit on its own.

If this is undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified.

Subcontractor Monitoring/Inspection

(Category 4 Only)

A procedure for ensuring your contractors conduct regular health and safety inspections of their subcontractors activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations.

This does not refer to a behavioural observation audit on its own.

If this is undertaken as part of a general site inspection, please ensure your contractors identify their contractors that are included in the inspection.

Contractor Audits

Contractor auditing is a process whereby you check contractors are adhering to the required expectations and agreed health and safety arrangements (e.g. what has been agreed to in a Site-Specific Safety Plan, attendance to agreed meetings, reporting of incidents and competencies of contractors at site).

Subcontractor Audits

(Category 4 Only)

Subcontractor auditing is a procedure for ensuring your contractors conduct regular audits of their subcontractors to check they are adhering to the required expectations and agreed health and safety arrangements (e.g. what has been agreed to in a Site-Specific Safety Plan, attendance to agreed meetings, reporting of incidents and competencies of contractors onsite).

Health & Safety Management and Commitment



Category 1 & 2 contractors please start here

Health and Safety Policy

Your health and safety policy is the key statement that sets out your approach and intentions to workplace health and safety and should be accessible to the relevant stakeholders.

It should be signed by the owner, directors, CEO or equivalent, demonstrating commitment to improving health and safety performance.

They usually include:

- + Commitment to comply with relevant legislation and good practice.
- + Commitment to consult with employees in managing health and safety.
- + Referral to responsibilities of all involved in the organisation in creating a safe healthy environment.
- + A review at least every two years and updated as required.

Health and Safety Accountabilities/Responsibilities in Management Roles

There are defined duties outlined in relation to specific roles in your organisation. Examples can be in either job descriptions or in company documentation. They describe who is responsible for various health and safety activities (e.g. planning, management, hazard and risk management).

There is an expectation that an organisation is also aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

Health and Safety Accountability/Responsibility Review

(Category 4 Only)

Health and safety responsibility review is a process where performance against these responsibilities is reviewed and is often included in broader management performance reviews. Please ensure any personal identifiers are removed from evidence submitted.

Dealing with Issues

(Category 1 Only)

This is a description of how you systematically manage health and safety issues as they arise. For example, how they are recorded, monitored and how follow up of actions take place.

For this part the of assessment, we need to see an actual description of the issue and a clear description of what was done to resolve it.

Monitoring Health and Safety

(Category 2 Only)

This is a description of how you systematically manage and monitor health and safety issues.

For this part of the assessment this can be a description of how this is done, or consecutive meeting minutes to demonstrate frequency and evidence of health and safety monitoring.

Health and Safety Advice

This is to check the level of professional occupational health and safety systems support and advice your organisation has access to and can be internal and/or external advisors.

Please include in your answer:

- + The name of the person and organisation (if applicable)
- + The person/s specific health and safety qualifications
- + The person/s specific health and safety experience
- + What you use them for and how often or what amount of their time is directed to this if using an internal resource

Health and Safety as a fixed Agenda Item

(Category 3 and 4 Only)

Health and safety as a regular part of senior management meetings shows that it is integrated into operational meetings at a senior level on an ongoing basis and that health and safety is being prioritised.

We ask for two sets of management/operations meeting minutes, preferably consecutive and within a 4 month period.

Please note: Agendas will **not** be accepted as evidence and dedicated health and safety meetings which management attend are not acceptable evidence for this question.

Health and Safety Key Performance Indicators (KPI's)

(Category 3 and 4 Only)

Key Performance Indicators (KPI's) are quantifiable measurements that provide a measure of the health and safety performance of your organisation. They're often categorised into lagging (reactive) and leading (proactive) indicators.

Examples include:

Lead (Positive) Indicators

- + Safety management activity completed
- + Audits and inspections completed
- + Training completed
- + Corrective action completion rates
- + Behaviour/attitude surveys completed

Lag (Negative) Indicators

- + Injury frequency and severity rates
- + Lost workdays
- + Property damage incidents
- + Costs

Evidence may include reports, meeting minutes, or statistical data.

Please include in your answer what measures are used and how often they are monitored by management.

Safe Work Procedures and Practices

(Relevant Work Activities Only)

Work Instructions

Work instructions are procedures that are in place to describe how to carry out standard tasks in a consistent and safe manner. They are commonly used for on the job training and are about standardised activity with limited to no potential for variation.

They include a step by step guide to use a specific piece of equipment or to carrying out a specific task and include the hazards and risks involved and the controls to prevent harm.

They do not refer to generic safety procedures such as personal protective equipment management, generic chemical handling, or workplace inspections and are not to be confused with a Job Safety Analysis (JSA) as these are typically applied where the approach to the work activity, or the environment in which it is carried out, has the potential for variation.

Work Instruction Review

Work instruction review is how and when you review work instructions given in the previous question. These may include scheduled and /or reactive reviews. Both a description or procedure and evidence of a recent review is required (e.g. review records, comparison of original and updated instructions).

Site Specific Safety Plans (SSSP's)

A Site Specific Safety Plan (SSSP) is a plan showing how health and safety is to be managed for a given project or service.

SSSP's are more likely to be completed for long duration or complex work.

SSSP's typically cover:

- + H&S Structure and Responsibilities
- + Methods of communicating H&S
- + Hazard and risk management minimum requirements and processes
- + Management of contractors/subcontractors
- + Training and competency
- + Incident reporting and investigation
- + Emergency response
- + Audit and inspection

For the purposes of assessment, a signed off / working SSSP is required.

Hazard Management

Hazard and Risk Management

A hazard and risk management procedure or process will describe how an organisation systematically identifies hazards, assess their risk and applies a 'hierarchy of control' to manage this risk. It will also describe how these hazards, risks and controls are monitored and reviewed.

When assessing, we consider good practice and regulatory requirement for the control of the hazards and risks you have identified in your hazard/risk register.

The evidence required includes:

- + Hazard and risk management procedure
- + Hazard/risk register as an overview document recording risk associated with all aspects of your organisation
- + Evidence of your hazard management cycle process (e.g. completed hazard identification report forms or similar)

Permit to Work (PTW)

(Some Category 4 Only)

A permit to work system (PTW) is a formal written system to control hazardous works, allowing work to start only after safe procedures have been defined.

A PTW authorises certain people to carry out specific work within a specified time frame, setting out the precautions required to complete the work safely, based on a risk assessment.

Examples of work that may require a permit to work are:

- + Hot works
- + Confined space entry
- + Work at heights
- + Electrical isolation

Job Safety Analysis (JSA)

A JSA will identify the steps of a task or job and the hazards and risks associated with each step. It will systematically identify the controls and responsibilities in place to manage those risks. A well completed JSA will clearly show the task environment situations and that it has been reviewed by those undertaking the work on site.

For the purposes of assessment, a JSA signed off by all parties involved is required.

Energy Isolation

An energy isolation (also known as lockout-tagout) procedure or process will ensure machinery or equipment is inoperable by the isolation of live energy sources to achieve a 'zero energy' state. This may include electrical, pneumatic, hydraulic, mechanical, live process lines and stored energy.

The procedure or process should outline a set of predetermined steps to follow when workers are required to perform tasks such as inspection, maintenance, cleaning, repair and construction to ensure the safety of those doing the work.

The isolation procedure or process should include information on how to:

- + Identify machinery /equipment requiring isolation
- + How to isolate energy sources and ensure a zero-energy state
- + The placement of locks and tags
- + Removal of isolation / lockout-tagout
- + Safe reenergisation

General Emergency Response

An emergency procedure will describe what to do in response to a range of standard emergency events.

This includes:

- + Fire
- + A medical emergency
- + Natural disasters.

Work Specific Emergency Response

A work specific emergency response plan will describe what to do in response to a specific high risk work activity emergency event.

The evidence required is the actual steps to take in the event of a potential emergency situation and is not to be confused with a general work procedure.

These include, but are not limited to:

- + Confined space rescue
- + Fall from heights rescue
- + Hazardous substance spill response
- + Lone worker rescue

Hazardous Substances

(Relevant Work Activities Only)

A procedure for managing hazardous substances will describe what hazardous substances are present and how an organisation will manage any risk from the use, handling and storage of hazardous substances.

The procedure should typically include:

- + How you handle and store hazardous substances
- + How you train people in their safe use
- + How you carry out any required monitoring of your people or their work area

Evidence of two Safety Data Sheets is also required and these should be less than 5 years old. These are not to be general product information sheets but are required to contain for example information on Explosiveness/ Flammability, Toxicity, First Aid, Firefighting and Disposal, and any specific PPE requirements.

Health Monitoring

(Relevant Work Activities Only)

Health monitoring refers to the testing of individuals to identify any changes in their health status because of exposure to health hazards arising from their work. This is to detect if a worker's health is being harmed (e.g. hearing, sight, blood or lung function testing).

The procedure should typically include:

- + The identification of health risks
- + The type of monitoring or testing undertaken
- + The processes for consent and recordkeeping
- + The response to evidence of minimised health

Please note: For confidentiality purposes, we do not require copies of monitoring records.

Personal Protective Equipment (PPE)

(Relevant Work Activities Only)

Personal protective equipment (PPE) refers to all protective clothing and equipment used by an individual whereby elimination or minimisation does not entirely remove risk. The hazards and risks addressed by PPE can include physical, electrical, heat, chemicals, biohazards, and airborne matter.

Please ensure you include in description or attached procedure:

- + What PPE is needed for what work area and/or work activity
- + How and when PPE is issued
- + How PPE is maintained and checked ongoing
- + How and when PPE is replaced

Incident Reporting and Investigation

Incident Reporting and Investigation

Please note: For Category 3 and 4 this question is split into two parts.

An incident reporting and investigation procedure ensures that all incidents that do or have the potential to cause harm, are reported and investigated to facilitate the opportunity to review the situation and revise controls if needed. In addition, they ensure legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- + How incidents are recorded and who they are reported to
- + Which incidents are to be investigated and by who
- + The investigation processes
- + How corrective actions are implemented
- + How notifiable events are managed
- + How and where incident records are stored

We will also require:

- + A copy of your incident register
- + Evidence of completed incident report forms
- + For categories 2, 3 and 4, evidence of completed incident investigations

Incident Investigators

(Category 3 and 4 Only)

Trained investigators are a valuable asset in any organisation seeking to maximise learning from adverse events, avoiding reoccurrence and improving future resilience.

Accepted formal incident investigation training qualifications include NZQA Unit Standard 17601, ICAM, Tripod Beta and TapRoot.

Please ensure information is provided to show your investigators qualifications.

Audit and Inspection

Workplace Health and Safety Inspections

Workplace inspections help prevent injuries and illnesses through examination of the workplace, formally identifying and recording hazards and risks for corrective action.

A formalised process is expected to identify, record hazards, and follow up with corrective actions. This can include offices, warehouses, vehicles, workshops or any site where work is performed.

Please note: A workplace inspection needs to include physical environment checks not just safe worker behaviour.

For categories 1 and 2 we will require a description of how and when you do this and copies of recent completed inspections.

For categories 3 and 4 we will only require copies of recently completed inspections.

Specific Safety Plan (SSSP) Audits

(Category 3 and 4 Only)

A Site (or Service) Specific Safety Plan (SSSP) audit is completed to ensure the agreed systems, processes and activities outlined in the SSSP are being met.

The audit should typically include a review of:

- + Health and safety responsibilities and authorities are understood and acted on
- + Worker induction and competencies processes
- + JSA's and permits are used correctly, adapted and signed off as required
- + Accident and incident reporting and investigation processes
- + Holding and attendance at health and safety and prestart meetings
- + Equipment and tools monitoring processes

Please note: This is not an initial SSSP review but a periodic audit of an active SSSP.

Health and Safety System Audits

(Category 2, 3 and 4 Only)

A health and safety system audit is a process to periodically check your health and safety management system is effective and fit for purpose.

This is not a workplace inspection that checks physical conditions, or behaviours of individuals. It is a check that an effective health and safety management system is in place with systematic hazard and risk management and supporting processes.

A health and safety system audit should typically include:

- + Leadership and commitment
- + Hazard identification, assessment and control
- + Information, training and supervision
- + Incident reporting, management and investigation
- + Employee participation
- + Emergency planning and readiness
- + Contractor/subcontractor management
- + Injury Management

Involving Employees

Involvement in Health and Safety

All organisations must have worker engagement and participation practices, regardless of size, level of risk or the type of work carried out.

Worker participation practices are put in place so that workers can help to improve health and safety on an ongoing basis. These practices make it possible for workers to share ideas and information, raise issues, and contribute to decision-making on an ongoing basis

Evidence of worker participation may be in the form of:

- + Operations or toolbox meeting minutes where safety was discussed,
- + Health and safety meeting minutes or team briefings.
- + Workers involvement in development of procedures and policies.
- + Worker suggestions considered regarding health and safety initiatives.

Prestart Meetings

Shift or daily prestart meetings are held at a work team level at the start of each day or shift to discuss planned operations and requirements, including those relating to health and safety.

Where possible, we recommend submitting consecutive minutes to show that these meetings are held regularly.

Training

Training Procedure

A training procedure helps to ensure workers have the skills and/or are developing skills and knowledge that relate to the management of hazards and risk in their workplace. The procedure may contain internal and or external training.

A training procedure will typically include:

- + The specific types of training required
- + Who can carry out training (internal and external)
- + How competency will be determined
- + How training will be recorded (training register) and kept current

We will also require a training register to show us training that has been carried out.

Refresher Training

The aim of a refresher training procedure is to ensure there is a process for the renewal or refreshing of training.

This can include in-house training and competencies, as well as external certification or licences.

Induction Training

An induction programme introduces a worker to their workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including the hazards, risks and controls in their workplace.

Aspects of induction training typically include:

- + Emergency procedures
- + Incident/ Injury reporting
- + Hazard management
- + Employer/Employee responsibilities
- + Injury management process
- + Communication systems for Health and Safety
- + Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed induction forms and, if you have it, the content covered in the induction (e.g. staff handbook, safety manual or other referenced documentation).

Management and Supervisory Skills Training

(Category 4 Only)

Management and supervisory training focuses on improving an individual's skills as a leader and manager.

This may include courses and workshops that prepare managers to face the wide array of challenges involved in supervising people and managing systems and projects.

Plant, Equipment and Vehicles

Equipment maintenance, testing and/or calibration

We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment to keep it in a safe working condition.

An equipment maintenance procedure will typically include the following:

- + Identification of what equipment requires maintenance, testing or certification
- + What the maintenance and/or testing requirements are for the equipment
- + How often the maintenance and/or testing is required
- + Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- + How the maintenance and/or testing will be recorded (equipment registers)
- + How maintenance and/or testing will be kept current

Please note:

Category 1 and 2 to provide evidence of application including maintenance schedules and certificates, test tags.

Category 3 and 4 are also required to provide Equipment Registers as evidence.

Mobile Plant / Vehicle Maintenance

We will require a procedure or description of the process to keep work vehicles and mobile plant (e.g. forklifts, scissor lifts) safe and fit for use.

A mobile plant maintenance procedure will typically include the following:

- + Identification of what mobile plant and equipment requires maintenance, testing or certification
- + What the maintenance and/or testing requirements are for the equipment (e.g. vehicle services, WOF etc)
- + How often the maintenance and/or testing is required
- + Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- + How the maintenance and/or testing will be recorded (equipment registers)
- + How maintenance and/or testing will be kept current

Please note:

Category 1 and 2 to provide evidence of application including maintenance schedules and certificates.

Category 3 and 4 to supply maintenance/inspection registers (or similar).

Safety and Environmental Performance

This section relates to any dealings you may have had with regulatory bodies, for example Worksafe, Environmental Protection Authority, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA). We ask that you declare any dealings you have had. We will also be undertaking a court base search of your company to verify your answers.

Health and Safety Prosecution/Conviction

If you answer 'Yes' to your organisation or staff (to include current and previous) having been prosecuted and convicted for an offence under the Health and Safety in Employment Act 1992 or the Health and Safety at Work Act 2015 in the last 5 years you will need to attach:

1. An explanation of what you were prosecuted for.
2. A clear outline of the corrective actions in place to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s rather than the prosecution/s itself.

Prohibition, Infringement or Improvement Notices

If you answer 'Yes' to your organisation receiving a Prohibition, Infringement or Improvement Notice issued under the Health and Safety in Employment Act 1992 within the last 5 years issued by WorkSafe, Environmental Protection Authority, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA) you will need to attach:

1. A copy of each Notice.
2. A clear outline of the corrective actions you put in place for each notice to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the Notice/s rather than the Notice/s themselves. This includes Enforceable Undertakings issued by Worksafe.

Health and Safety Investigation

If you answer 'Yes' to your organisation having been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years you will need to attach:

1. A copy of investigation reports or other documents outlining why you were investigated.
2. A clear outline of the corrective actions you put in place to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the Investigation/s rather than the investigation/s themselves.

Environmental Enforcement Action

(For Category 4, this will be part of the Environment Management section)

If you answer 'Yes' to your organisation or staff (current and previous) having been prosecuted and convicted for an offence, received infringement notices, or been investigated by an enforcement agency under the Resource Management Act or other environmental regulation or bylaw in the last 5 years you will need to attach:

1. An explanation of what the issue was.
2. A clear outline of the corrective actions you put in place to prevent the situation happening again.

Your score in this area will reflect what you have done to rectify the issues rather than what the issue was.

Health and Safety Recognition

We also want to know about any of your health and safety achievements that have been recognised by Clients or other external bodies as showing health and safety excellence, innovation, or problem solving over the last two years.

If you have been formally recognised for health and safety excellence, please attach:

1. A description of the award/recognition.
2. Evidence of the award (e.g. safety award, certificate, write up, or similar).

Please note: This needs to be recognition of a significant Health and Safety initiative undertaken by your organisation or your workers.

Environmental Management Systems and Performance

(Category 4 only)

Environmental Management Policy

Your environmental policy is the key statement that sets out your approach and intentions to its overall environmental performance and provides a framework for action and the setting of environmental objectives and targets.

It should be signed by the owner, directors, CEO or equivalent, demonstrating commitment to improving environmental performance.

Environmental Responsibility

We are looking for the most senior person in your organisation with overall responsibility for environmental management.

Please include in your answer:

- + The name/s of the most senior person/s in your organisation with overall environmental management responsibility.
- + The person/s role/s within the organisation.

Environmental Advice

This is to check the level of environmental systems support and advice your organisation has access to and can be internal and/or external advisors.

Please include in your answer:

- + The name of the person and organisation (if applicable)
- + The person/s specific environmental qualifications
- + The person/s specific environmental experience

Environmental Accreditation

If your organisation is currently accredited to an environmental standard (e.g. ISO 14001), please attach a copy of your current accreditation certificate.

Environmental Inspections

An environmental inspection is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, are meeting agreed environmental expectations.

Environmental System Audits

An environmental system audit is a process to periodically check your environmental management system is effective and fit for purpose.

An environmental audit is not an environmental inspection that checks physical conditions for a site or other environment.

Environmental Recognition

We also want to know about any of your environmental achievements that have been recognised by Clients or other external bodies as showing environmental excellence, innovation, or problem solving over the last two years.

If you have been formally recognised for environmental excellence, please attach:

1. A description of the award/recognition.
2. Evidence of the award (e.g. environmental award, certificate, article or similar).

Insurance

For all evidence of insurances please ensure the following are listed on your certificate of currency:

- + The name of the insured
- + The type of insurance cover held
- + The dates of your insurance coverage
- + The dollar value of your insurance cover held

Please note: We cannot accept notices of renewals, invoices or policy schedules without these details.

**For entering amounts please do not use words, commas or \$ signs
e.g. enter 2000000 for 2 million**

**For date use DD/MM/YYYY format
e.g. 03/08/2019**

Motor Vehicle Third Party Liability for Airside Activities

Motor Vehicle Third Party Liability for Airside Activities covers legal liability for death/disability of third-party loss or damage to the third-party property when working airside at an airport or similar. Many motor vehicle insurances will have this automatically, please check with your insurer if uncertain.

Motor Vehicle Third Party Liability

Third party motor vehicle insurance covers the legal liability for death/disability of third-party loss or damage to the third-party property. It is part of all full cover policies and is usually in the range of 10 to 20 million dollars. It is often referred to as 'Section 2 Liability'.

General Public or Products Liability Insurance

Public liability insurance covers a business if someone is injured in some way by the business, or if it damages third party property when carrying out work/conducting business. It protects businesses against the financial risk of being found liable for personal injury, property damage and economic loss. It can also be known as General, Broadform or Purple Insurance.

Product liability insurance covers damage or injury caused to another business or person by the failure of a business's product or the product they are selling.

Professional Indemnity Insurance

Professional indemnity insurance protects a business against claims for alleged negligence or breach of duty arising from an act, error or omission in the performance of professional services or advice. This type of insurance is usually held by organisations providing advice or consultancy services.

Referees

Please provide 3 referees or references willing to be contacted to endorse your organisation. These need to be those who know your business, or who have worked with you and can testify to your health and safety capability.

These can be clients, past clients, other organisations you may have worked alongside or professional services that provide assistance e.g. Lawyer or Accountants.

Referees will not be contacted by PREQUAL but may be contacted by representatives of Clients you have asked to prequalify for or have agreed that your information be made available.

Please ensure you provide for each referee:

- + Name
- + Organisation
- + Email address
- + Phone Number

+ Section 4:

Support and Resources

During or prior to the assessment if you need any guidance or clarification you can call PREQUAL on 0800 773 782 or email info@prequal.co.nz. We will endeavour to support you in the process to achieve the best outcome for your organisation while maintaining the interests of your potential or existing clients.

If the PREQUAL process results in you wanting to seek more guidance on health and safety in your workplace, we recommend the following resources:

WorkSafe New Zealand

Worksafe is the regulator of workplace Health and Safety and have tools and resources often developed in conjunction with industry experts to help organisations manage risk.

These include:

Approved Codes of Practice (Supports the law and may be used in legal proceedings).

Good/Best Practice Guidelines, factsheets and bulletins (not legally binding but supports good practice).

Trade and Industry Associations

Trade and Industry Associations relevant to your operations may have industry specialist health and safety guidance.

Accident Compensation Corporation

Accident Compensation Corporation (ACC) have resources on their website for workplace health safety and prevention of injury. These include Industry-specific health and safety guides as well as guidance on injury management and preventing pain discomfort and injury.

Standards New Zealand

A division of MBIE specialising in managing the development of standards and publication of New Zealand, joint Australia-New Zealand, and international standards.

Ministry of Business, Innovation and Employment

MBIE has tools to understand Health and Safety compliance requirements for businesses in New Zealand.

Health and Safety Association of New Zealand

The Health and Safety Association of New Zealand (HASANZ) provides quality advice available for businesses. Their website has a register of qualified experienced health and safety professionals.

Business Leaders' Health and Safety Forum

A forum working to improve health and safety leadership in workplaces.

New Zealand Legislation

This site contains the statutes and supporting regulations for workplace Health and Safety in New Zealand. These include:

- + The Health and Safety at Work Act 2015
- + Hazardous Substances and New Organisms Act 1996 (HSNO)
- + Building Act 2004 1991
- + Electricity Act 1992
- + Resource Management Act 1991
- + Smoke-free Environments Act 1990
- + Privacy Act 1993
- + The Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- + Health and Safety at Work (Worker Engagement, Participation and Representation) Regulations 2016
- + Health and Safety in Employment Regulations 1995
- + Health and Safety in Employment (Pressure Equipment, Cranes, and Passenger Ropeways) Regulations 1999
- + Health and Safety at Work (Asbestos) Regulations 2016
- + Fire and Safety and Evacuation of Building Regulations 2006
- + Hazardous Substances and New Organisms (Personnel Qualifications) Regulations 2001



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SITEWISE ASSESSMENT QUESTIONS

The below alert will appear at the top of any question that has had changes made since your last assessment.

This question has changed since your last Assessment. Please read it carefully and provide the evidence requested.

Question 1 - Insurance

What insurances does your company hold?

To show that you have adequate insurance in place for the type of work that you undertake.

Please provide the following evidence:

Copies of your current insurances, such as public liability, indemnity, vehicle, general business, or other appropriate for your business.

Evidence is required to show the sum insured and expiry dates. Expiry dates must be valid at time of submission. All evidence must be within the expiry to obtain full marks.

NB. To add insurances: select add insurance document then choose from the drop down options & attach the relevant file.

Question 2 - H&S Systems

Please provide a copy of your company's Health & Safety Policy, and Procedures

To show that you have a policy and procedures in place to manage the health and safety of your workplace, or have certification of your health and safety management system to ISO 45001:2018.

Please provide **one** of the following evidence options:

A copy of your health & safety policy and procedures that relate to The Health and Safety at Work Act 2015, **OR** a copy of current certification to ISO 45001:2018.

The procedures are those that make up your health and safety management system. If your management system is large, as a minimum, please submit the following procedures:

- Worker engagement (not required for sole operators)
- Hazard and risk management
- Training and competency
- Emergency management
- Incident reporting and investigation
- Hazardous substances (if applicable)
- Contractor management (if applicable)

Your policy must be signed and dated within the last 24 months by an Officer of your company. Your procedures must show that they have been reviewed within the last 24 months.

If you are submitting certification for ISO 45001:2018, please also submit the audit report. If this is sensitive information, please provide evidence in questions 5, 10, and 11 to show that they are in the scope of the certification or select the N/A option.

Question 3 - Engagement

How often are health and safety meetings or briefings held?

To show how often you engage with your workers regarding health and safety, as well as providing them a platform to participate in health and safety.

To validate the frequency you have selected, please provide **three consecutive** examples of health and safety meetings. Each example must be from within the last **12 months** and include:

- Date the meeting was held
- Details of the health and safety topics discussed
- A record of workers that were present. If signatures cannot be obtained please state this in your answer, with the reason why (for example - online meeting only)

NB - If one of the required elements is not present in all examples, the score for the next option will be awarded (weekly to fortnightly).

NB - It is recommended that informal meetings (toolbox talks, prestarts for example), contain worker signatures to show attendance.

NB - As the evidence provided in this question is often used as the communication component for questions 4 and 8, please ensure that some examples contain feedback to workers regarding incidents and workplace inspections.

NB - Sole Operators are not required to submit evidence for this question and can select the not applicable option.

Question 4 - Incidents

How do you record and investigate incidents and near misses?

To show that you have a process in place to record and investigate incidents and near misses and discuss the outcomes of any investigations with your workers. Please provide the following evidence:

- A copy of your incident register with **regular** entries to show the history of reporting incidents and near misses for the last **12 months**.
- **One** example of a completed investigation.
- Evidence that shows incidents, near misses, and the outcomes of any investigations have been communicated to workers at meetings. This can include evidence that a safety alert (or similar) has been communicated to workers.

If no incidents or near misses have been reported in the last 12 months, please provide **one** of the following options:

- A copy of your incident register with **regular** entries of no reporting, **AND** a completed investigation that is no older than 24 months, **OR**
- A copy of your incident register with **regular** entries of no reporting, **AND** a minimum of **two examples** of meeting records that show discussion with workers regarding reporting requirements and/or the importance of reporting. This **does not** include just noting that no incidents or near misses have occurred.
- **Sole operators only** - A completed incident register for the last 12 months that shows regular entries stating that no incidents or near misses have occurred.

NB - The investigation example should show that an attempt has been made to determine what the root cause or root causes were that caused the event to happen. It should also show what preventative actions were carried out to minimise the likelihood of the same event occurring again.

Question 5 - Subcontractors

How do you manage the safety of sub-contractors/contractors you engage, or manage?

To show that you have a process in place to review and accept the health and safety processes of sub-contractors that are engaged or managed by your company. Please provide **one** of the following evidence options from within the last **12** months:

- A preferred sub-contractor/contractor list that shows regular updates and review (please note that this will only score 5 marks).
- A preferred sub-contractor/contractor list that shows regular updates and review, with supporting sub-contractor documentation.
- A reviewed and signed-off health and safety policy and procedures.
- A reviewed and signed-off workplace safety plan, such as a site-specific safety plan or similar.
- A reviewed and signed-off methodology specific to a scope of work, such as a task analysis or similar.
- Evidence of current independent prequalification (such as SiteWise, Impac, Totika, other).

If you engage labour-only sub-contractors, please provide evidence from within the last **12** months of:

- A reviewed and signed off check of their training and competency (or years of experience), **AND**
- An example of current training (certificate or training card for example), **AND**
- A completed induction, signed by both parties, **OR** evidence that they have signed to show they will be working under your health and safety systems.

NB - If you do not engage sub-contractors, or have not engaged sub-contractors in the last **12** months, please select **not applicable** and provide a brief explanation.

Question 6 - Training

Are you and your workers trained and competent for all aspects of the work you carry out?

To show that all workers are trained and assessed as competent (by you as the PCBU) to perform the work being undertaken. This should include evidence that some of your workers (**more than one**) have undertaken health and safety training and higher-level learning. Higher-level learning includes NZQA unit standards level 3 and above, training recommended by codes of practice, driver license endorsements, trade, or other qualifications.

Please provide the following evidence:

- A copy of your training and competency register that shows evidence of refresher training **and** a measure of competency or years of experience, **AND**
- A couple of examples of current training (certificates, training ID cards, certifying licenses for example). This must include at least one example of current higher-level learning.

Question 7 - Hazards & Risk

How do you record hazards and risks in your workplace?

To show how you record identified hazards and assess their risk in your workplace. Please provide a copy of your master risk register that includes the following elements:

- The hazards that have been identified in your workplace (this includes all areas where work is undertaken).
- Initial risk assessment (before controls have been implemented) for each hazard.
- Residual risk assessment (after controls have been implemented) for each hazard.
- Mitigation controls for each hazard.
- Evidence that the register has been reviewed within the last **24 months**.

NB - If your master register is part of a site-specific safety plan or similar, please clarify this in your answer.

Question 8 - Inspections

What workplace inspections do you carry out?

To show that you, as the PCBU are monitoring conditions at the workplace for the purpose of preventing injury or illness, and that the results of these are communicated back to your workers. Please provide the following evidence:

- A minimum of **three** examples of health and safety-related inspections of the workplace. These must have been conducted within the last **12 months**. These must also show the completion of any required corrective actions, **AND**
- Evidence that the results of the inspections are communicated back to your workers as part of a meeting or as allocation of corrective actions. This can also include when no corrective actions have been required.

NB - Workplaces can include offices, workshops, warehouses, vehicles, mobile plant, or any other area where work is carried out.

To find the Inspection Checklist templates click [here](#).

Please see [here](#) for a video tutorial.

Question 9 - High Risk Work

How do you plan for and manage high-risk or notifiable work?

To show that you have a process in place to manage the hazards and risks associated with any high-risk or notifiable work undertaken, and that workers are involved in this process.

If you carry out both of the above, please **only submit evidence for one of the options**

If you carry out high-risk work that is **NOT notifiable to Worksafe**, please provide the following:

- **One** methodology that shows how the work will be carried out.
- Evidence of how the methodology was communicated to **and** accepted by workers carrying out the work. This can include sign-off by the workers or evidence that the methodology was discussed at a meeting. Both will require actual or time/date-stamped signatures.
- Evidence that those workers carrying out the work are trained **and** competent to do so.

If you carry out high-risk work that **IS notifiable to Worksafe**, please provide the following:

- **One** methodology that shows how the work will be carried out.
- Evidence of how the methodology was communicated to **and** accepted by workers carrying out the work. This can include sign-off by the workers or evidence that the methodology was discussed at a meeting. Both will require actual or time/date-stamped signatures.
- Evidence that those workers carrying out the work are trained **and** competent to do so.
- A copy of the notification to Worksafe.

NB - If high-risk or notifiable work is not undertaken by your company, please select **not applicable**. If you choose this option, please note that the evidence submitted in Q7 will be reviewed to confirm this.

Question 10 - Health Checks

How do you monitor the health of workers who are, or may have been exposed to workplace health hazards?

To determine if workers are experiencing health effects from potential workplace exposures. Health monitoring can also confirm that control measures are preventing harm. You will need to know if the health hazards exceed the Workplace Exposure Standards (WES) and Biological Exposure Indices (BEI):

**Please click [here](#) to access the WES and BEI from WorkSafe.*

NB - If you believe that the indices/standards are not exceeded, please provide an in-depth risk assessment that has been completed by a suitably qualified person (Occupational Hygienist). Also, if you chose not applicable your evidence submitted in Q7 will be reviewed to confirm this.

Evidence of regular monitoring is required. To show this please provide any of the following evidence:

- A report, letter, or document from a health monitoring provider that shows pre-employment (baseline) and/or regular testing has been carried out. If the evidence states that the testing is baseline only, it will be marked as such.
- Reports, letters, or documents from two occurrences of testing (*this will be dependent of your monitoring frequency*) from a health monitoring provider.

NB - Names of personnel tested can be redacted for privacy reasons.

NB - If invoices are being submitted, they must clearly show what health monitoring has been carried out (hearing, lung function for example).

NB - If you are submitting a booking confirmation, please select the 'other' option.

NB - If you are a Sole Operator, the **not applicable** option can be selected.

NB - As a PCBU, if you require your workers to use respiratory protective equipment (RPE), you must ensure that the RPE is fitted correctly for each worker by conducting fit testing. This ensures that workers are wearing proper fitting RPE. Although fit testing is required, please note that it **IS NOT** health monitoring, and does not need to be submitted as evidence for this question.

Question 11 - Substances

If you use or store hazardous substances, products or materials, please provide evidence of how you manage this aspect of your business?

To show that you effectively manage the hazardous substances that you **use or store** in your workplace.

Please provide the following evidence:

- A copy of your hazardous substances inventory that shows review within the last 12 months.
- A couple of examples of current NZ safety data sheets (no older than 5 years).
- Evidence that you have procedures in place for hazardous substances (SOP, task analysis or similar).
- Evidence that workers have relevant training for hazardous substances (could include formal or informal training).

NB - If you select not applicable, your evidence submitted in Q7 will be reviewed to confirm this.

Question 12 - Mental Health

0 points

How does your company ensure a mentally healthy workplace?

To show that you, as the PCBU manage the psychosocial risks to ensure a mentally healthy workplace.

Do you have a policy or procedure that describes how a mentally healthy workplace is managed?

NB - If you are a sole operator, please select not applicable.

NB - This is a non-scoring question, therefore will not affect your final score.

- Yes - please provide a copy
- No
- N/A

Question 13 - Environment

0 points

How does your company manage environmental sustainability?

To show that you have a policy or procedure in place for environmental management (sustainability)

Do you have a policy or procedure that describes how environmental sustainability is managed?

NB - This is a non-scoring question, therefore will not affect your final score.

- Yes- please provide a copy
- No

Question 14 - Prosecutions

0 points

Has your company been investigated by Work Safe NZ, Civil Aviation or Maritime NZ in the last 5 years?

If yes please provide evidence of the investigation. (This requirement is optional)

NB – improvement notices are not investigations.

- No
- Yes (please provide details)



CORE CRITERIA AND ASSESSMENT STANDARD

19 Feb 2024 – VERSION 3.1.1

AMENDMENTS

Version	Date	Name	Details
0.1	5 June 2020	J Harper-Slade	Final exposure draft
0.2	23 June 2020	J Harper-Slade	Minor typing errors and omissions.
1.0	1 July 2020	J Harper-Slade	Removal of LB55
1.1	11 August 2020	J Harper-Slade	Removed references to ConstructSafe, ensuring information relating to H&S knowledge assessment relates to the relevant industry guidance.
1.1.1	16 December 2020	J Harper-Slade	Corrected minor referencing errors. Removed MB34 as a duplicate Expanded some acronyms and abbreviations Document review periods set to annually for MB and LB sections.
1.1.2	28 April 2021	J Harper-Slade	Highlighted and separated construction specific requirements from general requirements.
2.0	23 August 2021	J Harper-Slade	Added suggested anchors for standardised scoring Corrected minor errors Further clarified separate construction supplier requirements Removed mandatory requirement to cascade Tōtika into supply chains
2.1	15 October 2021	J Harper-Slade	Added definition of Principal Contractor and Principal Designer . Included descriptions of Client responsibilities (<i>PC04 and PD05</i>). Clarified process for establishing a reasonable score for a supplier achieving a 'Developing' grading through a SafePlus Onsite Assessment (<i>First section of Core Requirements for Sole Traders and Cat 1 Suppliers</i>)
2.2	1 November 2021	J Harper-Slade	Re-branded document
3.0	4 Mar 2022	J Harper-Slade	Combined with Core Requirements document (which is now superseded) Removed clause ST4 from Sole Trader requirements and placed in Cat 1 requirements as SB4. SB numbers changed after SB4. Removed redundant clause in Cat 2 requirements so MB numbering adjusted. Fixed/changed reference numbers allowing for changes to tables.

3.1	31 March 2023	J Harper-Slade	<p>Added new clauses in all Categories for Mental Health and Suicide Prevention programmes: (ST12, SB21, MB36, LB36 – MB and LB changes are Construction Contractors Only)</p> <p>Amended requirement around competent H&S advice (Clauses SB4, MB8). Adjusted the criteria to make it easier for businesses to score a 3 (i.e., meet the standard). Clauses LB9 & PC05 have not been adjusted.</p> <p>Changed from Principal Designer to Designer and adjusted the definition to align with Worksafe NZ guidance (P142).</p>
3.1.1	19 Feb 2024	J Harper-Slade	<p>LB8: Changed requirements for 3 and 4 around</p> <p>MB36: adjusted to ensure those with no mental health/wellbeing occurrences are able to score 3.</p>

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INTRODUCTION

The core criteria represent the minimum requirements suppliers must demonstrate to be listed with Tötika.

Member schemes shall ensure that their own assessment processes and questionnaires meet the core criteria as a minimum standard. Member scheme approaches may vary, and some may wish to exceed the requirements of the core criteria.

Member schemes shall apply the standardised scoring process defined in the member scheme standard. Suppliers must meet every element of the applicable core requirements to be graded as Performing; otherwise, the supplier is graded as Developing regardless of the score applied.

Member scheme assessors are to pay particular attention to the requirements in the member scheme standard around special consideration for assessments of small businesses. Although certain small businesses with primary work activities classified as high or very high risk will be required to meet higher categories of core requirements, they will not necessarily need to provide the comprehensive documentary evidence expected of a larger, more complex business. Small businesses may be able to demonstrate how they meet the core requirements in other ways that work for organisations with fewer employees.

QUESTIONNAIRE GUIDANCE & MINIMUM EVIDENCE REQUIREMENTS FOR SOLE TRADERS

Suppliers should have options for having certain questions found “Not Applicable” to them if they provide sufficient justification for this to be accepted. These questions are identified as “NA Possible”.

The frequency of assessment for Sole Traders is 2 years.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
	Alternate Certification or assessment	See scheme rules (Page 15) for full description of external certification and assessment criteria. IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED	Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments? <ul style="list-style-type: none"> Q-Safe certification ISO45001 certification SafePlus onsite assessment 	If yes, the following must be provided: <ul style="list-style-type: none"> Name of assessment Name of third-party assessor, current contact phone number, email and website details (to check validity) Expiry date Status / Level of achievement (if applicable) e.g. Developing, Performing or Leading for SafePlus Copy of certificate and report issued by third party assessor (Note: Safe Plus issues a report only)	Supplier can upload evidence directly into the Tōtika through their supplier dashboard. If minimum evidence is met the supplier is graded and scored as follows: Current Q-Safe certification Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit. Current ISO 45001 certification Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit. SafePlus Onsite Assessment - Graded as Performing or Leading Graded 'Performing', Score 100%. Expiry is 2 years from assessment date. SafePlus Onsite Assessment - Graded as Developing Graded 'Developing', Maximum Score: 60%. A conversation with the assessor will be undertaken to establish a reasonable score appropriate to the supplier's assessment performance. Expiry is 2 years from assessment date.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
REFERENCES					
ST1:	Provide two references	Two independent people not related to the trader and ideally people who the trader has delivered work for within the last 5 years	Information Only	Provide Reference Name, Company, Email and Phone Number.	<p>0 – No references provided</p> <p>1 – One reference provided</p> <p>2 – Two references provided but not for work completed in the last five years and/or not independent of each other and/or have too close a relationship to the assessed party to be independent.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – References provide a strong independent account of how the assessed party is enhancing safety through their work.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
GENERAL H&S					
ST2:	Responsibility	Trader states who is responsible for health and safety when working for a client.	Please describe who you think is mainly responsible for your health and safety when you are carrying out work on site for a Client?	Acknowledgement of the ST's responsibility for their own H&S onsite (and everyone else has a part to play)	<p>0 – Could not state who is responsible</p> <p>1 – Solely states the responsibilities of those upstream to them</p> <p>2 – Solely states their own obligations, but cannot state the obligations of others.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides supplementary evidence demonstrating how they take responsibility for their H&S whilst onsite.</p>
ST3:	Issues	States how they deal with H&S issues as they arise when working for a client.	Please describe how you deal with health and safety issues that come up when working on site for your Client.	Description of how issues are dealt with i.e. steps to minimise risk, internal meetings, client notification, work only resumes once issues has been solved etc.	<p>0 – Cannot articulate how H&S issues are resolved.</p> <p>1 – Can only provide an account of one mechanism to resolve issues.</p> <p>2 – Can state two ways in which they resolve issues.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides evidence of how they have successfully resolved a recent H&S issue with a client.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARDS, RISKS, AND CONTROLS					
ST4:	Hazard/risk identification	States how the trader responds when identifying a hazard/risk when working on a client site.	Please describe below what you would do if you identify a hazard while carrying out work on your Client/s site.	Description indicates they would stop work if immediate threat presented, endeavour to manage hazard/risk themselves, notify client if they need to help address the hazard/risk or it could arise again. Fill out any client required hazard/risk documentation.	<p>0 – no evidence provided</p> <p>1 – Demonstrates an understanding of one appropriate action.</p> <p>2 – Demonstrates an understanding of two appropriate actions.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to provide a recent example where a hazard/risk was identified and suitably responded to.</p>
ST5:	Safe system of work	States how they establish a safe way to do work and how risks are identified and controlled.	<p>Please describe how you identify the hazards and risks that may arise when you carry out work for your Client/s.</p> <p>Do you undertake any formal job safety analysis (task analysis) before starting work? “NA Possible”</p>	<p>Description of how hazards are managed, documented, reported. Similar to ST05.</p> <p>Description of how a JSA is undertaken indicates that a JSA is about breaking a task into steps and identifying and controlling hazards associated with each step.</p>	<p>0 – no evidence provided</p> <p>1 – Can demonstrate an understanding of the documentation that may be produced, but can't demonstrate how it is practically applied to work.</p> <p>2 – Articulates some understanding of practically applying suitable controls to manage a risk.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Recent evidence of a suitable and sufficient safe system of work, that the sole trader helped develop and has applied.</p> <p>Or n/a</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
ST6:	Equipment and machinery	States their understanding of machinery and equipment isolation; particularly in regard to isolation from power sources	Please describe below your understanding of the requirements for the isolation (lockout-tagout) of equipment and energy sources (e.g. electrical equipment, machinery, etc) when working at your Client's sites? "NA Possible" .	Description of isolation process should include similar to the following: <ul style="list-style-type: none"> • tagged/locked out • testing for zero energy state • process for removal • responsibility 	0 – no evidence provided 1 – Able to demonstrate an understanding of one element of the isolation process 2 – Able to demonstrate an understanding of two elements of the isolation process 3 – See details and minimum evidence requirements elements. 4 – Provides evidence of an implemented safe isolation process/procedure for their equipment or machinery. Or n/a
ST7:	Maintenance, testing, repair and calibration of work equipment	States processes associated with any maintenance, testing, repair or calibration of any work equipment they use when working for their clients.	Do you have a process for the maintenance, testing and/or calibration of your equipment to ensure it is safe for use e.g. lifting equipment, safety equipment, test equipment, tooling etc.? "NA Possible" .	Description of maintenance, testing and/or calibration of equipment. Should include similar to the following: <ul style="list-style-type: none"> • items being tested/inspected outlined • checks/inspections are undertaken • frequency defined • indicates tester i.e. internal/external. 	0 – no evidence provided 1 – Can demonstrate a partial understanding of this element with no account of how they apply it. 2 – Can demonstrate a partial understanding and application of this element. 3 – See details and minimum evidence requirements elements. 4 – Can provide a documented plan for maintenance/checking/testing/repair/calibration of their work equipment Or n/a

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
INCIDENTS					
ST8:	Reporting	States who the trader would advise if they were involved in or witnessed an incident when working on a client site	Please describe below who you would advise if you have an incident while carrying out work on your Clients site?	Description of line of communication after an incident. Indicates that all incidents are reported to the Client i.e. rep, supervisor, manager.	<p>0 – no evidence provided</p> <p>1 – Can demonstrate a partial understanding of this element with no account of how they apply it.</p> <p>2 – Can demonstrate a partial understanding and application of this element.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence provided of how they recently reported an incident to an external party.</p>
ST9:	Notification	Demonstrates an understanding of notification requirements as a sole trader to Worksafe NZ.	Please describe your understanding of what Notifiable Work “NA Possible” or Notifiable Events (incidents) you are required to report to WorkSafe	Description of when their work may need to be notified to WorkSafe or a notifiable event reported to them.	<p>0 – no evidence provided</p> <p>1 – Can demonstrate a partial understanding of this element with no account of how they apply it.</p> <p>2 – Can demonstrate a partial understanding and application of this element.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence provided of a process or procedure that ensures appropriate external notifications are made.</p> <p>Or n/a</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
TRAINING AND COMPETENCE					
ST10:	Undertaken H&S training and assessment	Trader to provide evidence of any H&S related training undertaken in the last 3 years.	Have you undertaken any H&S training over the last 3 years?	<p>List any health and safety training or assessments completed in the last 3 years e.g. ConstructSafe, Site Safe, Impac H&S Fundamentals, First Aid, H&S Representative, Incident Investigation, Hazard Management, Fire Warden, H&S Auditing, H&S Leadership/Supervision.</p> <p>Advise the dates of completion of any training undertaken.</p> <p>If no training completed please indicate this.</p> <p>Construction</p> <p>Trader shall have completed foundational H&S training at least once and must have completed an independent Foundation H&S Knowledge Assessment (see industry guidance)</p>	<p>0 – no evidence of H&S training provided</p> <p>1 – Evidence of H&S training, but not in the last 5 years</p> <p>2 – Evidence of H&S training, but not in the last 3 years</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides a verifiable training and competency record that includes H&S training at least once in the last 2 years.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
ST11:	Licences and certification	Trader provides evidence of any licences and/or certifications required for their designated work activity (e.g. Scaffolding COC, Electrical registration, LBP etc.)	Registration information (links to work activity) indicates that you carry out an activity that typically requires a licence or certification. Do you hold a current licence and/or certificate for this type of work? "NA Possible" .	The activities that the Sole Trader undertakes should be reviewed and any licensing and/or certification requirements established. If any are required, the following should be provided: <ul style="list-style-type: none"> a copy of the current licence/certification and expiry date 	<p>0 – no evidence provided</p> <p>1 – Shows a basic level of technical training for their trade/occupation, but nothing within the last 5 years or licence has expired.</p> <p>2 – Shows a basic level of technical training for their trade/occupation, but nothing within the last 3 years.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides a comprehensive set of evidence demonstrating currency of professional skills, training, experience, aptitude, and knowledge.</p> <p>Or n/a</p>

HEALTH AND WELLBEING					
ST12:	Mental Health and Suicide Prevention	Trader shows an understanding of the impact mental health and suicide on their work and can demonstrate knowledge of where to seek help.	<p>Explain your understanding of the importance of mental health and wellbeing?</p> <p>Do you know where you can seek help for mental health?</p>	<p>The trader is able to articulate the importance of good mental health and shows an understanding of the impact of poor mental health.</p> <p>The trader is able to identify at least one source of support available to them.</p> <p>Available support listed here: https://mates.net.nz/get-help/</p>	<p>0 – no awareness of mental health issues in their industry.</p> <p>1 – Has a limited understanding of mental health issues, but cannot recall where they would seek help.</p> <p>2 – Either demonstrates an understanding of mental health issues in their industry or can reference a source of help, but not both.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides evidence of personal training on mental health (e.g. MATES in Construction, A-OK ASIST, Mental Health First Aid or similar..</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
H&S PERFORMANCE HISTORY					
ST13:	Prosecution or convictions	Trader provides details of any prosecution relating to a health and safety incident in the last 5 years.	<p>Have you been convicted of a Health & Safety offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required:</p> <p>https://www.courtsofnz.govt.nz/judgments</p>	Not applicable

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
ST14:	Enforcement action	Trader provides details of enforcement action in the last 5 years by any regulator (e.g. prohibition or improvement notice). This will also include any enforceable undertaking.	<p>Have you had any enforcement action taken against you by an H&S Regulator in the last 5 years? This includes prohibition or improvement notices, or formal warnings? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. details of the enforcement action 2. the current status of enforcement action 3. a copy of the primary document relating to the enforcement action 	<p>No score given.</p> <p>Information provision only</p>	Not applicable
ST15:	Investigations	Trader provides details of any investigation by any regulator regarding health and safety in the last 5 years.	<p>Have you ever been investigated by an H&S Regulator in the last 5 years? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. a copy or summary of the investigation, including required actions, identified by the Regulator. 	<p>No score given.</p> <p>Information provision only</p>	Not applicable

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
ST16:	Environmental offences	Trader provides details of prosecutions or convictions for environmental issues in the last 5 years.	<p>Have you been convicted of an Environmental offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required: https://www.courtsofnz.govt.nz/judgments</p>	Not applicable
ST17:	Awards and recognitions	Trader provides details of awards and recognitions for health and safety in the last 5 years.	<p>Have you been recognised by clients or other external bodies for H&S excellence, innovation or problem solving in the last 5 years?</p> <p>If yes provide a description of the award and attach a copy of it.</p>	<p>No score given.</p> <p>Information provision only</p>	Not applicable

QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 1 SUPPLIERS

All questions answered YES should be supported by minimum required evidence. Suppliers should have option for having certain questions found “Not Applicable” to them if they provide sufficient reason for this to be accepted. These questions are identified as “NA Possible”.

The frequency of assessment for Cat 1 Suppliers is 2 years.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
	Alternate Certification or assessment	See scheme rules (Page 15) for full description of external certification and assessment criteria. IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED	Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments? <ul style="list-style-type: none"> Q-Safe certification ISO45001 certification SafePlus onsite assessment 	If yes, the following must be provided: <ul style="list-style-type: none"> Name of assessment Name of third-party assessor, current contact phone number, email and website details (to check validity) Expiry date Status / Level of achievement (if applicable) e.g. Developing, Performing or Leading for SafePlus Copy of certificate and report issued by third party assessor (Note: Safe Plus issues a report only)	Supplier can upload evidence directly into the Tōtika through their supplier dashboard. If minimum evidence is met the supplier is graded and scored as follows: Current Q-Safe certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit. Current ISO 45001 certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit. SafePlus Onsite Assessment - Graded as Performing or Leading Graded ‘Performing’, Score 100%. Expiry is 2 years from assessment date. SafePlus Onsite Assessment - Graded as Developing Graded ‘Developing’, Maximum Score: 60%. A conversation with the assessor will be undertaken to establish a reasonable score appropriate to the supplier’s assessment performance.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LEADERSHIP					
SB1:	H&S Policy	The organisation shall have a signed health and safety policy that sets out leadership and commitment requirements for good health and safety practice.	Do you have a health and safety policy that sets out leadership and commitment requirements for good health and safety practice?	<p>If yes, the following should be evidenced:</p> <p>The organisation shall have a signed policy document that is reviewed at least two yearly, is signed/dated by top management and shows how the business is organised to deliver health and safety (including high level responsibilities and accountabilities). The policy shall include a statement to commit to:</p> <ul style="list-style-type: none"> • legal compliance • good practice • consulting with workers on health and safety matters 	<p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB2:	H&S Policy Communication	The organisation shall show how the policy is communicated to workers (including when it is updated)	How do you communicate the health and safety policy to workers and confirm they understand it?	<p>Via induction or other training/briefing with sign off by workers confirming understanding.</p> <p>Evidence required that supports this is happening e.g. records.</p>	<p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p>
H&S PROCEDURES					
SB3:	Documented procedures	The organisation shall state if they have documented H&S procedures	Do you have documented health and safety management system (HSMS) and procedures/processes covering core health and safety elements?	<p>Statement to this effect plus a list of the documented procedures/processes accepted. This list should cover the minimum processes/procedures covered under the Core Criteria.</p> <p>Further sections require evidence of specific documented processes to be provided. Whole HSMS may be provided here meaning only references need to be provided in subsequent questions.</p>	<p>0 – no documented procedures</p> <p>1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document.</p> <p>2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation).</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB4:	H&S Advice	States when the sole trader seeks competent H&S advice and who the ST uses to provide competent advice.	Please answer the following: 1. Who provides you with health and safety advice? 2. How often would you seek health and safety advice? 3. Where do you source reliable H&S information?	Provides a name of a person providing you with H&S advice (may be internal or external). That person is not a practitioner or professional member of a HASANZ member organisation. Able to show a source of reliable H&S information and recent evidence of using that information source to guide policy or practice.	0 – no evidence provided 1 – Able to name a reliable information source, but unable to show it being used. No evidence of internal or external competent H&S advice. 2 – Able to name a reliable information source, and able to show an example of it being used. No evidence of internal or external competent H&S advice. 3 – See details and minimum evidence requirements elements. 4 – Name of person who provides H&S advice (that is a Practitioner or Professional level with a HASANZ member organisation) and can show the frequency at which they obtain advice.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SKILLS, TRAINING, COMPETENCY, AND SUPERVISION					
SB5:	Training and competence processes	The organisation shall have a documented process relating to the training and competency of workers in order that they can work safely.	<p>Do you have a documented process for the training and competency of your workers to ensure they can complete their work safely? This may include:</p> <ul style="list-style-type: none"> • On job training • Trade certification e.g. electrical, plumbing, carpentry, mechanics, boilers, rigging, etc • Licenses e.g. forklift, HT • Specialist Training e.g. hazardous substances, work at heights, permit receiver, isolations 	<p>Documented procedure supplied. Or procedure/HSMS reference if supplied in SB03.</p> <p>Training register (or similar summary of training undertaken by workers and when it was done).</p>	<p>0 – no evidence provided</p> <p>1 – Only basic training records are held.</p> <p>2 – Training register supplied that does not appear current or does not sufficiently detail what is needed and what is held.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – A comprehensive training and competency register that is current. The register shall cover training, skills, experience, and knowledge required for every role. Training certificates shall be held against each employee. It shall be clear from the register what level of competence/capability an individual needs against what they have, with a clear indication of their currency.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB6:	Induction	<p>The organisation shall show how employees and contractors (workers) are provided with a health and safety induction to the organisation and how induction for sites and work areas are carried out and recorded.</p>	<p>Do you have a worker induction program in place that covers off employees and contractors and inducts them into the workplace and/or worksites?</p> <p>The induction should cover off key health and safety elements such as policy, responsibilities, hazard/risk management, emergencies, training, and incident reporting, and worker participation</p>	<p>Induction procedure (may be part of wider training procedure) or description of process. Or procedure/HSMS reference if supplied in SB3.</p> <p>Training register supplied above shows induction training has been completed.</p> <p>Two most recently completed inductions.</p>	<p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p>
SB7:	Foundation training and assessment	<p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p>	<p>Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations, Besafe Foundation Toolbox, Site Safe Passport, in-house training etc.).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment (ConstructSafe or equivalent)? “NA Possible”</p>	<p>Training register supplied above shows foundation level training has been completed.</p> <p>Construction contractor/supplier Training or competency register show that a foundation knowledge assessment has been carried out.</p> <p>Knowledge assessment must be independently delivered of the training provider.</p>	<p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB8:	Supervision of vulnerable workers	The organisation shall show how workers under training, young workers and other vulnerable workers are appropriately supervised and coached.	Describe how young, new, and other vulnerable workers are appropriately supervised and coached/trained on the job.	<p>Covered in training procedure/HSMS reference above or description. Shows that there is an on the job process that ensures workers who are not yet competent (trained or experienced in a specific task or use of equipment), directly supervised by someone who is competent (i.e. has relevant training and experience)until such time as they are confident in carrying out their tasks safely.</p> <p>Where appropriate (based on what the organisation does) the training register supplied above shows on job training records.</p>	<p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EVENT REPORTING, RECORDING, AND INVESTIGATION					
SB9:	Event recording, reporting and investigation procedure	The organisation shall document an H&S event recording, reporting and investigation process.	Do you have a documented procedure for event recording, reporting and investigation?	<p>Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3.</p> <p>Two most recent event/incident report examples provided.</p>	<p>0 – no evidence provided</p> <p>1 – Reporting is evident but not follow-up/learning/investigation.</p> <p>2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Business has a confidential reporting process for all workers, with evidence that it is implemented an operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents.</p>
SB10:	Investigation	The organisation shall demonstrate that they investigate all significant H&S events including high potential near misses.	Do you investigate all significant H&S events including high potential near misses?	<p>Either covered in procedure above or a description that demonstrates this.</p> <p>An example of a recently completed investigation report (this should be more than the H&S event/incident report).</p> <p>"NA Possible" if no significant incidents.</p>	<p>0 – no evidence provided</p> <p>1 – There is a process, but evidence of investigations being carried out.</p> <p>2 – Some incidents are investigated.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Investigations documented and undertaken by a person trained and competent in investigations.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB11:	WorkSafe Notification	The organisation shall demonstrate that they understand the notification requirements to Worksafe NZ.	When are you required to notify Worksafe NZ of any Notifiable Work or Event?	Either notifiable work and event requirements covered in procedure above <u>or</u> a description of when the organisation may need to notify WorkSafe of Notifiable Work or an Event.	<p>0 – no evidence provided</p> <p>1 – n/a</p> <p>2 – n/a</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – n/a</p>
SB12:	Communication and follow-up	The organisation shall demonstrate that they follow-up from investigations with corrective actions, record the findings, and communicate what has been learned to their Workers.	How do you ensure the learning from investigations (formal or informal) are translated to improved work processes via corrective actions, follow up and communication with workers?	<p>Description covers the following:</p> <ul style="list-style-type: none"> • Corrective actions from investigations are identified, recorded and tracked to completion • Workers are informed of any improvements and given opportunity to suggest further improvements. 	<p>0 – no evidence provided</p> <p>1 – Policy or process exists, but no evidence it is done</p> <p>2 – Policy or process exists, no recent evidence this is done</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Workers involved in developing and implementing improvements.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EMERGENCY MANAGEMENT & RESPONSE					
SB13:	Emergency processes	The organisation shall have documented processes for general emergency management and response.	Do you have documented emergency procedures that cover general emergencies your workers may be exposed to?	Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. Should cover general emergencies such as fire, earthquake, medical event, tsunami (if relevant), verbal or physical assault (if relevant), bomb threat (if relevant).	<p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p>
COMMUNICATION, ENGAGEMENT, AND PARTICIPATION					
SB14:	Worker participation	The organisation shall show that they have means to encourage and enable workers to participate in health and safety.	Do you have a documented procedure or process that encourages and allows for workers to participate in H&S matters?	<p>Documented procedure or process supplied. Or procedure/HSMS reference if supplied in SB3.</p> <p>Participation process appropriate to nature of organisation.</p>	<p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB15:	Meetings	The organisation shall show that they hold regular meetings with workers (including contractors) where health and safety matters are discussed.	<p>Do you have regular meetings with workers where health and safety matters are discussed, and workers have the opportunity to raise any issues?</p> <p>If yes what is their frequency and why is this viewed as appropriate?</p>	<p>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation):</p> <ul style="list-style-type: none"> • At start of every job (prestart); • Daily; • Weekly; • Fortnightly; • Monthly; • Other. 	<p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARD/RISK IDENTIFICATION AND PROVISION OF EFFECTIVE CONTROLS					
SB16:	Hazard/risk identification and risk control processes.	The organisation shall document a process for how it identifies hazards/risks and selects a range of effective controls (applying the hierarchy) to protect workers and others. Evidence of this occurring in practice shall also be provided.	Do you have a documented procedure for the identification of hazards and management of their risk/s? This includes both hazards and risks associated with a physical environment and those associated with work activities.	<p>Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. The procedure should cover how both physical environment hazards/risks and also those associated with work activities are dealt with.</p> <p>Copy of hazard/risk register.</p> <p>Copy of a Job Safety Analysis (JSA), Task Analysis (TA), Standard Operating Procedure (SoP), or Safe Work Method Statement (SWMS) or similar for work activity. "NA Possible"</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB17:	Hazard/risk control communication	The organisation shall provide evidence of how these controls are communicated to those they protect and that they are understood	How do you communicate these hazards and risks and their required controls to you workers, and confirm they understand it?	<p>Via induction or other training/briefing with sign off by workers confirming understanding.</p> <p>Evidence required that supports this is happening e.g. records.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care.</p>
SB18:	Hazard/risk control monitoring	The organisation shall provide evidence of how these controls are monitored so they remain effective.	How do you monitor/review the controls for your hazards/risks to ensure they are still effective?	<p>Covered in above procedure and/or description that illustrates monitoring/review activity e.g. inspections, post incident review, review of registers etc.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB19:	PPE	The organisation shall demonstrate that appropriate PPE is provided free of charge to workers and how workers are trained to use it correctly. The organisation shall show how PPE is kept serviceable, maintained/cleaned, and suitably stored to ensure effectiveness.	Are all workers provided with appropriate PPE for the work being undertaken, is it regularly checked and maintained and are workers trained and competent in its correct use? “NA Possible” if there are clearly no PPE requirements associated with hazard exposures.	Covered in procedure above or separate documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. And/or description shows that appropriate PPE is provided, checked/maintained and workers are trained in use.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities.
HEALTH AND HEALTH MONITORING					
SB20:	Process for monitoring of health risk	The organisation shall demonstrate that they have identified any health risks to workers and have documented how appropriate health monitoring, surveillance, and controls are implemented.	Have you identified any occupational health hazards/risks that require controls including health monitoring/surveillance? “NA Possible” if no health hazard exposures	Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. And/or description of health risks identified, controls applied and nature (type and frequency) of any health surveillance – this must be in line with good health surveillance protocols.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB21:	Mental Health and Suicide Prevention	The business can demonstrate that mental health has been identified as a risk to people's health and that reasonable steps have been made to inform the workforce and connect them to sources of information and support where needed.	<p>How does your organisation demonstrate the importance of mental health and wellbeing?</p> <p>How do you help your people access information and support on mental health issues?</p>	<p>Documentation or similar explaining the business's approach to protecting the mental health and wellbeing of its people.</p> <p>Evidence showing examples of information, instruction or training provided to people (e.g. Mates General Awareness Training)</p>	<p>0 – no evidence that mental health risk is addressed.</p> <p>1 – Limited evidence that mental health is addressed..</p> <p>2 – Either demonstrates mental is addressed through policy or risk assessment or can show how people are informed, but not both.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides evidence that all people have attended recognised mental health training (e.g. MATES in Construction, A-OK ASIST, Mental Health First Aid or similar..</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HEALTH AND SAFETY INSPECTIONS					
SB22:	Work site health and safety inspections processes	The organisation shall have documented processes that detail how work locations are physically inspected.	Do you have a documented procedure for the physical inspection of worksites other than offices? “NA Possible” if only office work environment	Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3.	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity.</p>
SB23:	Frequency of inspections	The organisation shall demonstrate how often inspections are carried out and explain why that frequency is appropriate for the organisation.	How often do you carry out these inspections and why is this viewed as an appropriate frequency? “NA Possible” if only office work environment	<p>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation):</p> <ul style="list-style-type: none"> • At start of every job (prestart); • Daily; • Weekly; • Fortnightly; • Monthly; • other. 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SUB-CONTRACTORS (NOTE THIS SECTION APPLIES TO SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS)					
SB24:	Contractor management process	The organisation shall document a process for managing its sub-contractors (organisations)	Do you have a documented procedure for the management of sub-contractors? “NA Possible” if sub-contractors clearly not engaged.	Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. Procedure should cover: <ul style="list-style-type: none"> • Prequalification • Contractor selection and requirements setting • Pre-commencement (induction, SSSP sign off) • Contractor Monitoring and audit/review. 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes.
SB25:	Sub-contractor engagement	The organisation shall review sub-contractors H&S management systems prior to engagement to ensure they are appropriate for their operations.	Do you review each subcontractor (PCBU) prior to engagement to confirm they have an appropriate health and safety management system? “NA Possible” if sub-contractors clearly not engaged.	Provide an example of a recent sub-contractor H&S prequal or similar.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements supplier is able to demonstrate that all sub-contractors are listed with Tōtika.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB26:	Cooperation, communication, and consultation with sub-contractors	The organisation shall demonstrate how it communicates and works with subcontractors on matters of health and safety.	Describe how you communicate and work with subcontractors on matter of health and safety to ensure work is coordinated to manage risks to H&S. “NA Possible” if sub-contractors clearly not engaged.	Description includes how they set minimum health and safety requirements with subcontractors, how it inducts sub-contractors into the health and safety program, and how they communicate and coordinate work with subcontractors over the course of the work activity. Level needs to be appropriate for the nature of the activity/relationship and could include prestart meetings, Job Safety Analysis (JSA), Task Analysis (TA), Safe Work Method Statement (SWMS), Site Specific Safety Plan (SSSP), review etc.	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB27:	Performance monitoring	The organisation shall show how sub-contractor performance is monitored and how ongoing learning and improvement is achieved.	<p>Do you regularly monitor your contractors H&S performance and provide feedback on this to them?</p> <p>If yes what is the frequency of this and why is this viewed as appropriate?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>This will typically take the form of physical works inspection, behavioural observation, or assessment against a Job Safety Analysis (JSA), Task Analysis (TA), Safe Work Method Statement (SWMS), Site Specific Safety Plan (SSSP) review (or similar).</p> <p>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): daily, weekly, fortnightly, monthly, other.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PLANT & EQUIPMENT					
SB28:	Maintenance	The organisation shall document a process to ensure appropriate plant and equipment maintenance is achieved.	<p>Do you have a procedure or documented process for the maintenance of any plant and/or equipment you use as part of your work?</p> <p>“NA Possible” if plant and equipment clearly not used. Plant and equipment refers to industrial plant and equipment including mobile P&E, Fixed P&E (e.g. in workshops), lifting equipment (slings, strops, chains), and safety equipment (harnesses, lanyards, gas testers etc)</p>	<p>Documented procedure/process supplied. Or procedure/HSMS reference to information if supplied in SB3. Procedure/process should cover:</p> <ul style="list-style-type: none"> • What plant and equipment is maintained • Frequency of maintenance <p>Current maintenance register showing the above is applied. This can be accepted on its own to meet requirements of this question.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARDOUS SUBSTANCES					
SB29:	Management	The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances.	Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.	Documented procedure/process supplied. Or procedure/HSMS reference to information if supplied in SB3. Must include: <ul style="list-style-type: none"> • Identification of hazardous substances. • Development and maintenance of a hazardous substances inventory. • SDS management (receipt, compilation, communication). • Storage of hazardous substances. • Transportation of hazardous substances (if applicable) . • Training requirement for workers on safe use of hazardous substances they use or are exposed to. 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of: <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB30:	Inventory	The organisation shall document and maintain an accurate hazardous substances inventory.	Do you maintain a hazardous substances inventory? (as per the requirements of the Hazardous Substance Regulations) “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.	Hazardous substances inventory covering the following minimum elements: <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB31:	Safety Data Sheets and labelling	<p>The organisation shall show how current safety data sheets are obtained and how the contents are communicated to workers using the substances.</p> <p>The organisation shall demonstrate how it confirms that all hazardous substances are appropriately labelled and marked.</p>	<p>Describe how you get safety data sheets (SDS) for your hazardous substances and how these are communicated/provided to your workers.</p> <p>Describe how you ensure all hazardous substances are appropriately labelled and marked.</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Description includes how SDS are sourced from suppliers or via internet/database or similar, where they are located, and how they communicate this to workers.</p> <p>Two recent SDS (< 5 years old) provided for two substances from inventory.</p> <p>May be covered in SB27 or there is a description how this is done</p> <p>Must provide a description of how hazardous substances are appropriately labelled.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements:</p> <ul style="list-style-type: none"> • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance • The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB32:	Hazardous Substance Training	The organisation shall provide evidence that they have provided the required training to workers in the use of hazardous substances they may use.	<p>Have workers been trained in the safe use and handling of the hazardous substances they use or are exposed to?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Describe what hazardous substances training is provided and include in this:</p> <ul style="list-style-type: none"> • Who has provided the training • What the training covered (must cover hazards of the substance/s, how to use, transport, store safely, emergency measures) • Evidence training has been provided – can reference Training Register in SB4 if this contains the records. Alternatively provide records for a sample of workers (2). 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> • Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. • Information on all hazardous substances the worker is likely to be exposed to • Physio-chemical and health hazardous of those substances • Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance • Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance • Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 • The actions taken in an emergency involving a hazardous substance • The PCBU should have a training matrix detailing records of training and instruction given to each worker • Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
H&S PERFORMANCE HISTORY					
SB33:	Prosecution or convictions	Organisation provides details of any prosecution of the business, directors, or senior management relating to health and safety in the last 5 years.	<p>Have you been convicted of a Health & Safety offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required.</p>	n/a
SB34:	Enforcement action	Organisation provides details of enforcement action in the last 5 years by any regulator (e.g. prohibition or improvement notice). This will also include any enforceable undertaking.	<p>Have you had any enforcement action taken against you by an H&S Regulator in the last 5 years? This includes prohibition or improvement notices, or formal warnings? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. details of the enforcement action 2. the current status of enforcement action 3. a copy of the primary document relating to the enforcement action 	<p>No score given.</p> <p>Information provision only</p>	n/a

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB35:	Investigations	Organisation provides details of any investigation by any regulator regarding a health and safety in the last 5 years.	<p>Have you ever been investigated by an H&S Regulator in the last 5 years? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. a copy or summary of the investigation, including required actions, identified by the Regulator. 	<p>No score given. Information provision only</p>	n/a
SB36:	Environmental offences	Organisation provides details of prosecutions or convictions for environmental issues in the last 5 years.	<p>Have you been convicted of an Environmental offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given. Information provision only Court Base search required.</p>	n/a

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SB37:	Awards and recognitions	Organisation provides details of awards and recognitions relating to health and safety in the last 5 years.	<p>Have you been recognised by clients or other external bodies for H&S excellence, innovation or problem solving in the last 5 years?</p> <p>If yes provide a description of the award and attach a copy of it.</p>	<p>No score given.</p> <p>Information provision only</p>	n/a

GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 2 SUPPLIERS

All questions answered YES should be supported by minimum required evidence. Suppliers should have option for having certain questions found “Not Applicable” to them if they provide sufficient reason for this to be accepted. These questions are identified as “NA Possible”.

The frequency of assessment for Cat 2 Suppliers is every year.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
	Alternate Certification or assessment	<p>See scheme rules (Page 15) for full description of external certification and assessment criteria.</p> <p>IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED</p>	<p>Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments?</p> <ul style="list-style-type: none"> ISO45001 certification 	<p>If yes, the following must be provided:</p> <ul style="list-style-type: none"> Name of assessment Name of third-party assessor, current contact phone number, email and website details (to check validity) Expiry date Status / Level of achievement (if applicable) e.g. Developing, Performing or Leading for SafePlus <p>Copy of certificate and report issued by third party assessor</p>	<p>Supplier can upload evidence directly into the Tötika through their supplier dashboard.</p> <p>If minimum evidence is met the supplier is graded and scored as follows:</p> <p>Current ISO 45001 certification</p> <p>Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LEADERSHIP AND COMMITMENT					
MB1:	H&S Policy	<p>The organisation shall have a signed policy that is reviewed at least annually, is signed/dated by top management and shows how the business is organised to deliver health and safety (including responsibilities and accountabilities). The policy shall include a statement to commit to:</p> <ul style="list-style-type: none"> • legal compliance • good practice • consulting with workers on health and safety matters • Continuous improvement 	<p>Do you have a health and safety policy that sets out leadership and commitment requirements for good health and safety practice?</p>	<p>If yes, the following should be evidenced:</p> <p>A policy document that is reviewed at least annually, is signed/dated by top management and shows how the business is organised to deliver health and safety (including high level responsibilities and accountabilities). The policy shall include a statement to commit to:</p> <ul style="list-style-type: none"> • legal compliance • good practice • consulting with workers on health and safety matters 	<p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB2:	H&S Policy Communication	The organisation shall show how the policy is communicated to workers (including when it is updated)	How do you communicate the health and safety policy to workers and confirm they understand it?	<p>Via induction or other training/briefing with sign off by workers confirming understanding.</p> <p>Evidence required that supports this is happening e.g. records.</p>	<p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p>
MB3:	Accountabilities	The organisation has defined health and safety accountabilities for key management roles and workers	Are H&S accountabilities/responsibilities allocated to management roles within your organisation?	<p>Describe what H&S accountabilities are applied to management roles in the organisation and how this is done.</p> <p>Identify the most senior manager and their role with overall accountability for H&S</p> <p>Provide two different examples of job descriptions (or similar) with specific H&S requirements included.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates all governance and leadership roles within the organisation have specific responsibilities and accountabilities for H&S, including specific objectives linked to their performance and remuneration.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB4:	Dealing with H&S Issues	The organisation has processes to deal with work-related H&S issues including tracking agreed actions to completion.	Does your business have processes to deal with work-related H&S issues including tracking agreed actions to completion?	<p>Describe an issue your business managed that demonstrates your approach to managing H&S related issues. The description should include:</p> <ul style="list-style-type: none"> • a description of the issue • who the issue affected? • how the issue was managed • the actions that were required to be implemented and who they were assigned to • how actions were tracked to completion • the overall outcome achieved by the process 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation has included a feedback loop mechanism to an implemented confidential H&S reporting system.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB5:	Demonstrating Active Commitment	The organisations senior leaders actively demonstrate their commitment to the health and safety of workers.	Do the senior leaders of your organisation actively and positively demonstrate their commitment to the health and safety of workers?	<p>Describe what H&S processes and activities senior managers are engaged in. This should include:</p> <ul style="list-style-type: none"> • whether H&S is an agenda item at management meetings • H&S activities/programs where they are engaging with workers in the field • Involvement in H&S Committees or similar • The setting and monitoring of H&S performance indicators for the organisation <p>Provide recent evidence for all of the above</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements this is supported by at least two concurrent safety climate surveys (separated by 12 week periods) showing that worker perceptions of management commitment to safety are good.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB6:	Considering H&S Impacts	The organisations senior leaders consider the impacts on health and safety when making business decisions.	Do the senior leaders of your organisation actively consider the impacts on health and safety when making business decisions?	<p>Provide an example where your business leaders actively considered the impacts of H&S when making a business decision (in relation to a project, capex, major change etc). This should include:</p> <ul style="list-style-type: none"> • a description of the business decision • what the potential H&S impacts of the decision were and who they were likely to impact on. • what decision was made to manage the H&S impacts • the success achieved by the decision in managing H&S impacts on workers 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how the wellbeing, health, and safety of all people affected are an integrated consideration on all senior management and board decisions.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PROCESSES TO SUPPORT HEALTH AND SAFETY					
MB7:	Documented system and procedures	The organisation shall state if they have a documented H&S management system and procedures.	Do you have documented health and safety management system (HSMS) and procedures/processes covering core health and safety elements?	Statement to this effect plus a list of the documented procedures/processes that make up the HSMS. This list should cover the minimum processes/procedures covered under the Core Criteria. Further sections require evidence of specific documented processes to be provided.	0 – no documented procedures 1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document. 2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document 3 – See details and minimum evidence requirements elements. 4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation).

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB8:	Competent H&S Advice	The organisation accesses and uses competent H&S advice.	<p>Do you and your workers have access to competent H&S advice?</p> <p>Construction contractor/supplier</p> <p>“NA Required” if a Principal Contractor as question asked in Core Criteria Question PC05.</p>	<p>Describe who advises your organisation on H&S. Include in the description:</p> <ul style="list-style-type: none"> • when and/or why you get H&S advice and support • name/s of advisor/s • whether they are internal/external • their area(s) of expertise • their qualifications and/or professional registration (if any) <p>Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – As above but internal/external H&S advisor Advisor/s hold at least a Professional level (or equivalent) membership of a recognised health and safety registration body in NZ (that body must be a HASANZ member body or international equivalent).</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB9:	Resourcing H&S	The organisation plans and budgets for health and safety expenditure and provides workers time and capability to apply H&S processes.	How does your organisation plan and budget for H&S and how do you provide workers time and capability to apply H&S processes?	<p>If your organisation has a budget for H&S describe the following:</p> <ul style="list-style-type: none"> • who sets and approves the budget (role/s) • how the budget is set (methodology - e.g. % increase on last year, amount per person, based on forward work planning or a combination of things). • who has approval to spend the budget • what the budget covers e.g. PPE, training, checks, equipment etc? <p>If your business does not have a H&S budget describe how you plan for H&S expenditure.</p> <p>Describe how your organisation ensures that workers are allocated the required time and capability they need to stay healthy and safe in the workplace. The following should be covered:</p> <ul style="list-style-type: none"> • allocation of training time for workers to develop required H&S competencies e.g. safe use of plant and equipment, • allocation of time for planning of H&S aspects of work activity e.g. JSA, TA, SWMS, SSSP's etc • time allocated for H&S activities including reviewing and checking working conditions, equipment, safety and site inspections, audits etc. 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how it prioritises expenditure on operational health and safety. The organisation shall also demonstrate budget for supporting worker mental health and wellbeing.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB10:	Site Specific Health and Safety plans	The organisation develops health and safety plans where the scope of work/project requires it.	<p>When working on a Client's site do you develop site (or service) specific health and safety plans (SSSPs)?</p> <p>Construction contractor/supplier</p> <p>"NA Required" if a Principal Contractor as question asked in Core Criteria Question PC03.</p>	<p>Provide a recent example of an SSSP.</p> <p>Content should be site/project or service specific (not a generic HSMS or plan). Should cover the following as a minimum.</p> <ul style="list-style-type: none"> • Site/project or service scope of work and phases (latter if relevant) • H&S accountabilities • Hazard/risk management approaches to be applied • Training and competency • Incident reporting and investigation requirements • Sub-contractor and other PCBU management/engagement • Emergency response requirements • Inspection and audit 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how front-line workers contribute to the development of site or project specific plans.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB11:	Continuous Improvement	The organisation shall have processes in place to review and improve all its H&S processes	How do you ensure H&S is continually improved within your organisation?	<p>Describe how your continual H&S improvement processes work within your organisation.</p> <p>Provide two examples (within the last two years) of improvements made to the Health & Safety of your business and its workers. Include in the details:</p> <ul style="list-style-type: none"> • a description of the improvement • how was the improvement initiated including the benefits of the improvement when implemented? • when and how the improvement made? • The benefits of the improvement? 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how methodologies such as learning teams, appreciative inquiry, HOP, HPE or similar are used to engage front-line workers in improvement processes.</p>
MB12:	Health and Safety Performance Goals	The organisation shall have processes in place to set H&S goals/objectives	Does your organisation set health and safety goals/objectives?	<p>Describe how your organisation sets its H&S goals/objectives including:</p> <ul style="list-style-type: none"> • how goals/objectives are set • what your current goals/objectives are • how achievement of these goals/objectives is tracked <p>Provide evidence of these goals/objectives being in place e.g. meeting minutes, plans, etc.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a H&S strategy developed that shows allocation of responsibility and accountability outside of the H&S team/advisor roles.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB13:	Monitoring Health and Safety Performance	The organisation shall have processes in place to monitor health and safety performance.	How does your organisation monitor its H&S performance?	<p>Describe how your organisation monitors H&S performance including:</p> <ul style="list-style-type: none"> • what performance measures are used to monitor H&S (lead and lag indicators) • how this is reported (e.g. management reports, presentations, intranet etc) • frequency of reporting • who is responsible for reporting • who receives or has access to the reports e.g. all workers, managers, managing director, board) <p>Provide the two most recent H&S performance reports.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how H&S performance is monitored using methods other than injury frequency rates.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB14:	H&S Audit	The organisation has processes in place to audit health and safety systems and processes.	Does your organisation have a procedure/process in place for conducting audits of its HSMS on a regular basis?	<p>Documented procedure/process supplied or describe what the process to make this happen is, including:</p> <ul style="list-style-type: none"> • frequency of audits • responsibility for arranging audits • who carry's them out • who reviews and improves audit findings • processes to capture and implement required corrective actions identified in audit <p>Provide a copy of an HSMS audit that has been undertaken within the last two years.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how top management are engaged in formerly reviewing the HSMS at least annually.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SKILLS, TRAINING, COMPETENCY, AND SUPERVISION					
MB15:	Training and competence processes	The organisation shall have a documented process relating to the training and competency of workers in order that they can work safely.	<p>Do you have a documented process for the training and competency of your workers to ensure they can complete their work safely? This may include:</p> <ul style="list-style-type: none"> On job training Trade certification e.g. electrical, plumbing, carpentry, mechanics, boilers, rigging, welding etc Licenses e.g. forklift, HT Specialist Training e.g. hazardous substances, work at heights, permit receiver, isolations Management of refresher training 	<p>Documented procedure supplied. This should include:</p> <ul style="list-style-type: none"> how H&S training requirements are determined. how and where training records are updated and stored <p>Provide training matrix (or similar) showing H&S training required by role.</p> <p>Provide training register (or similar) showing for workers:</p> <ul style="list-style-type: none"> Type of training When completed Any refresher requirements/dates 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how in-field verification of skill is applied.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB16:	Induction	The organisation shall show how employees and contractors (workers?) are provided with a health and safety induction to the organisation and how induction for sites and work areas are carried out and recorded.	<p>Do you have a worker induction program in place that covers off employees and contractors and inducts them into the workplace and/or worksites?</p> <p>The induction should cover off key health and safety elements such as policy, responsibilities, hazard/risk management, emergencies, training, and incident reporting, and worker participation</p>	<p>Provide induction procedure (may be part of wider training procedure). Should include:</p> <ul style="list-style-type: none"> • who receives an induction • when is the induction provided • what is included in the induction • how records are held <p>Training register supplied above should ideally show induction training has been completed.</p> <p>Provide records of three recently completed inductions.</p>	<p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p>
MB17:	Foundation training and assessment	<p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p>	<p>Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations, Besafe Foundation Toolbox, Site Safe Passport, in-house training etc.).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment in line with industry guidance?</p> <p>“NA Possible”</p>	<p>Training register supplied above shows foundation level training has been completed.</p> <p>Construction contractor/supplier Training or competency register show that a foundation knowledge assessment has been carried out.</p> <p>Knowledge assessment must be independently delivered of the training provider.</p>	<p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB18:	Hazardous Work Training, Licenses and Certifications	The organisation shall provide evidence that all workers who are required to do specifically hazardous work (e.g. work from height, work with asbestos, underground work, confined space entry, work around mobile plant or vehicles, buried services, electricity, hazardous substances, radiation etc.) have been provided with appropriate training and/or hold the required licenses or certifications.	<p>Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications?</p> <p>Hazardous work includes but is not limited to: work from height, work with asbestos, underground work, confined space entry, work around mobile plant or vehicles, buried services, electricity, hazardous substances, radiation etc.</p> <p>“NA Possible” if hazardous work not undertaken</p>	<p>Describe the following:</p> <ul style="list-style-type: none"> • what hazardous work has been identified • what the required specialist training, a licence, or certification is for that work <p>Training register supplied above shows specialist training has been completed.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows an example of how hazardous work training is applied and monitored for efficacy.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB19:	Supervision of vulnerable workers	The organisation shall show how workers under training, young workers and other vulnerable workers are appropriately supervised and coached.	Describe how young, new, and other vulnerable workers are appropriately supervised and coached/trained on the job.	<p>Covered in training procedure or description. This shows that there is an on the job training/supervision process that ensures workers who are not yet competent (trained or experienced in a specific task or use of equipment), are directly supervised by someone who is competent (i.e. has relevant training and experience) until such time as they are confident in carrying out their tasks safely.</p> <p>Provide records/evidence of this on job training and supervision.</p>	<p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EVENT REPORTING, RECORDING, AND INVESTIGATION					
MB20:	Event recording, reporting and investigation procedure	The organisation shall document an H&S event recording, reporting and investigation process.	Do you have a documented procedure for event recording, reporting and investigation?	Provide documented procedure. Provide two most recent event/incident report examples.	0 – no evidence provided 1 – Reporting is evident but not follow-up/learning/investigation. 2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity. 3 – See details and minimum evidence requirements elements. 4 – Business has a confidential reporting process for all workers, with evidence that it is implemented and operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB21:	Investigation	The organisation shall demonstrate that they investigate all significant H&S events including high potential near misses.	Do you investigate all significant H&S events including high potential near misses?	<p>Either covered in procedure above or a description that demonstrates this.</p> <p>Provide copies of two recently completed investigation reports (this should be more than the H&S event/incident report). The investigations must clearly show an understanding of the need to uncover “root causes” and not fixate on individual actions.</p>	<p>0 – no evidence provided</p> <p>1 – There is a process, but evidence of investigations being carried out.</p> <p>2 – Some incidents are investigated.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Investigations documented and undertaken by a person trained and competent in investigations.</p>
MB22:	WorkSafe Notification	The organisation shall demonstrate that they understand the notification requirements to Worksafe NZ.	When are you required to notify Worksafe NZ of any Notifiable Work or Event?	Either notifiable work and event requirements covered in procedure above <u>or</u> a description of when the organisation may need to notify WorkSafe of Notifiable Work or an Event.	<p>0 – no evidence provided</p> <p>1 – n/a</p> <p>2 – n/a</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – n/a</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB23:	Communication and follow-up	The organisation shall demonstrate that they follow-up from investigations with corrective actions, record the findings, and communicate what has been learned to their Workers.	How do you ensure the learning from investigations (formal or informal) are translated to improved work processes via corrective actions, follow up and communication with workers?	<p>Either covered in procedure above or a description that demonstrates this. Must detail the following</p> <ul style="list-style-type: none"> • How corrective actions from investigations are identified, recorded and tracked to completion • How workers are involved in this process, informed of any improvements and given opportunity to suggest further improvements. <p>For the two investigation examples provided in MB21, provide evidence of the agreed corrective actions and their completion.</p>	<p>0 – no evidence provided</p> <p>1 – Policy or process exists, but no evidence it is done</p> <p>2 – Policy or process exists, no recent evidence this is done</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Workers involved in developing and implementing improvements.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EMERGENCY MANAGEMENT & RESPONSE					
MB24:	Emergency processes	The organisation shall have documented processes for general emergency management and response.	Do you have documented emergency procedures that cover general emergencies your workers may be exposed to when on your site/s?	Provide the documented procedure. Should cover general emergencies such as fire, earthquake, medical event, tsunami (if relevant), verbal or physical assault (if relevant), bomb threat (if relevant).	<p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p>
MB25:	Specialist Emergency Response	The organisation has emergency response processes for specific/project sites or specialist higher risk work activities it may undertake.	<p>Does your business develop emergency plans for client sites/projects as well as for specialist higher risk work activities e.g. work at height, confined space entry?</p> <p>“NA Possible” if it is clearly demonstrated that no higher risk activities requiring specialist emergency plans, and the organisation always works under a client or principal contractors site/project emergency plan.</p>	<p>Either covered in procedure above or a description that demonstrates how you do this. Must detail the following</p> <ul style="list-style-type: none"> • The process for developing a specific site/project emergency plan. “NA Possible” if organisation always works under a client or principal contractors site/project emergency plan. • The process for developing a specific site/project emergency plan. “NA Possible” if organisation has no higher risk activities requiring specialist emergency plans. <p>Provide a copy of a site/project emergency plan.</p> <p>Provide a copy of a higher risk activity specialist emergency plan.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shows how specialist emergency response plans are contained or connected with a robust business continuity plan. The organisation shall also show how these plans are practiced and ‘pressure’ tested to ensure they will work.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
COMMUNICATION, ENGAGEMENT, AND PARTICIPATION					
MB26:	Open Communication	The organisation shows that it actively promotes open communication on health and safety with workers.	How does your organisation create an environment to support open communication with workers?	<p>Describe how your organisation promotes active communication e.g. policy documents, posters, statements in newsletters, intranet information.</p> <p>Provide two examples (within last two years) that demonstrate open communication in action. They should describe:</p> <ul style="list-style-type: none"> time, place, participants and type of communication summary of the communication that occurred outcome of the communication that occurred 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how the organisation encourages open relationships between people and how workers are encouraged to share 'bad news' with management without the fear of retribution.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB27:	Worker engagement and participation	The organisation shows that they have means to encourage and enable workers to engage and participate in health and safety.	Do you have a documented procedure or process that encourages and allows for workers to engage and participate in H&S matters?	<p>Provide documented procedure or process that sets out how your organisation engages and involves workers in H&S including:</p> <ul style="list-style-type: none"> • H&S committee terms of reference NA Possible • tools and processes used to consult with and seek participation of workers regarding Health & Safety matters that affect them • how workers are consulted on decisions making processes relating to H&S matters <p>Participation process appropriate to nature of organisation.</p> <p>Evidence that this is applied e.g. H&S Committee meeting minutes</p>	<p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB28:	Meetings	The organisation shows that they hold regular/structured meetings with workers (including contractors) where health and safety matters are discussed.	<p>Do you have regular meetings with workers where health and safety matters are discussed, and workers have the opportunity to raise any issues?</p> <p>If yes what is their frequency and why is this viewed as appropriate?</p>	<p>Either covered in procedure above or a description of:</p> <ul style="list-style-type: none"> the type, nature, and frequency of regular/structured meetings with workers where H&S matters are discussed e.g. prestart, toolbox, site, operations, team etc, and the frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): At start of every job, day (prestart), weekly, fortnightly, monthly, other. 	<p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARD/RISK IDENTIFICATION AND PROVISION OF EFFECTIVE CONTROLS					
MB29:	Hazard/risk identification and risk control processes.	The organisation shall document process for how it identifies hazards/risks and selects a range of effective controls (applying the hierarchy) to protect workers and others. Evidence of this occurring in practice shall also be provided.	Do you have a documented procedure for the identification of hazards and management of their risk/s? This includes both hazards and risks associated with a physical environment and those associated with work activities.	<p>Provide documented procedure supplied. The procedure should cover:</p> <ul style="list-style-type: none"> • Responsibilities for hazard/risk identification and management • How all aspects of the organisation are covered • methods used for identifying hazards and assessing their risk including physical location/environment hazards/risks, those associated with work activities, for new projects/sites, when significant change is made. • that both safety and occupational health hazards/risks are considered and covered (appropriate to the organisations risk profile) • the processes for determining appropriate controls using the hierarchy of control • The regular review of hazards and controls <p>Provide a copy of the current hazard/risk register. Provide examples of the application of two hazard/risk identification methods (as described above) that have recently been completed (within last two years).</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB30:	Hazard/risk control communication	The organisation shall provide evidence of how these controls are communicated to those they protect and that they are understood	How do you communicate these hazards and risks and their required controls to you workers, and confirm they understand it?	Describe how this is done (e.g. via induction or other training/briefing (meetings, forums, publications etc) and how workers understanding is confirmed. Evidence required that supports this is happening e.g. records.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care.
MB31:	Hazard/risk control monitoring	The organisation shall provide evidence of how these controls are monitored so they remain effective.	How do you monitor/review the controls for your hazards/risks to ensure they are still effective?	Covered in above procedure and/or description that describes: <ul style="list-style-type: none"> • monitoring/review activity e.g. inspections, post incident review, review of registers, critical risk program review. • Who is responsible for the monitoring activity • How is completion of the monitoring activity confirmed and recorded • What happens if the monitoring activity indicates the control is no longer effective 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB32:	Safe Work Instruction	The organisation has effective methods to provide instructions on how to carry out work in a healthy and safe manner for both higher risk routine and non-routine activities.	Do you produce written work instructions, JSA's, Task Analysis, SWMS, and/or standard operating procedures, and/or other specific safety instructions for the work you do?	<p>Covered in above procedure and/or description that describes when and how these written work instructions are produced. Appropriate for the nature risk profile of the organisation.</p> <p>Copy of two from the following: JSA, TA, SoP, or SWMS or similar for work activity.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall demonstrate how front-line workers contribute to the development and improvement of these instructions</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB33:	PPE	<p>The organisation shall demonstrate that appropriate PPE is provided free of charge to workers and how workers are trained to use it correctly. The organisation shall show how PPE is kept serviceable, maintained/cleaned, and suitably stored to ensure effectiveness.</p>	<p>Are all workers provided with appropriate PPE for the work being undertaken, is it regularly checked and maintained and are workers trained and competent in its correct use?</p>	<p>Covered in procedure above or separate documented procedure/process supplied. Shows that appropriate PPE is provided, checked/maintained and workers are trained in use.</p> <p>Provide a list of all PPE currently provided to workers.</p> <p>For two items of PPE on your list, describe how the PPE is managed including how:</p> <ul style="list-style-type: none"> • the type of PPE to purchase is decided e.g. safety rating, cost, combination of factors • workers know when to use and the correct use of the PPE • PPE is managed when not in use • if and when the condition of PPE is checked to make sure it is in good working order (or needs repair / replacement) • it is checked that the PPE is being used effectively (i.e. when doing the task(s) it is required for and is used correctly e.g. worn correctly, correct size etc). <p>Provide copies of evidence (if any) that demonstrates that PPE is being managed as described above e.g. records of PPE checks, replacement of PPE.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
OCCUPATIONAL HEALTH AND WELLNESS					
MB34:	Process for monitoring of health risk	The organisation shall demonstrate that they have identified any health risks to workers and have documented how appropriate health monitoring/surveillance is implemented.	Have you identified any occupational health hazards/risks that require health monitoring/surveillance, and do you carry this out? “NA Possible” if no health hazard exposures	List the identified health hazards/risks that require health monitoring/surveillance. Describe what health monitoring is provided to workers including: <ul style="list-style-type: none"> • what health monitoring is completed e.g. hearing tests, lung function tests, vision, musculoskeletal • who has health monitoring e.g. all workers, testing determined by role / tasks? • Who is the health monitoring completed e.g. by occupational health nurse, doctor • when is health monitoring completed e.g. pre-employment, annual monitoring • what information is reported back to the business when the health monitoring is completed • when and what follow-up is completed based on the results of the monitoring 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB35:	Drugs and alcohol	The organisation has a drug and alcohol policy.	Does your organisation have a workplace drug and alcohol policy?	<p>Provide the policy document and/or details that include the following information:</p> <ul style="list-style-type: none"> • what the organisations stance on drugs and alcohol is • what type of testing is or can be required e.g. pre-employment, post-incident, reasonable cause and / or random tests • whether post-incident testing is carried out • if random testing, how are workers selected for testing, frequency, and what percentage of your workforce are tested 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation supports and rehabilitates workers providing non-negative results.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB36:	Stress, Fatigue and Mental Wellbeing	<p>The organisation has processes in place to manage work related stress, fatigue and mental wellbeing.</p> <p>Construction Contractors Only</p> <p>Actively engaged with Mates in Construction or equivalent suicide prevention programme</p>	How does your organisation manage work-related stress, fatigue and mental wellbeing?	<p>Describe the approach your organisation takes to manage work-related stress, fatigue and mental wellbeing including:</p> <ul style="list-style-type: none"> any education/training completed by senior leader(s) for identification and/or managing work-related stress, mental wellbeing and/or fatigue in the workplace how work-related stress and fatigue are considered during work/project planning and delivery e.g. required hours off between shifts, task rotation how the mental wellbeing of workers is managed including identifying changes in mental wellbeing of workers and creating positive environments for mental wellbeing <p>Construction Contractors Only</p> <p>Evidence the organisation is actively engaged with Mates in Construction or equivalent suicide prevention programme, including provision of General Awareness Training (or similar) to people at all levels.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall:</p> <ul style="list-style-type: none"> Have a formal fatigue management system that evidences fatigue reduction in workers and describe one example for work-related stress and fatigue; and one example for mental wellbeing that demonstrates how you managed it for your workers including: <ul style="list-style-type: none"> how work-related stress and fatigue was addressed in the planning stages, and how issues were identified and reported how mental wellbeing was managed and if there were any instances which required intervention by managers.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HEALTH AND SAFETY INSPECTIONS					
MB37:	Work site health and safety inspection processes	The organisation shall have documented processes that detail how work sites are physically inspected.	Do you have a documented procedure for the physical inspection of worksites other than offices?	<p>Documented procedure supplied.</p> <p>Should cover:</p> <ul style="list-style-type: none"> • physical environment checks • check for safe worker behaviour • identifying and recording hazards • how corrective actions are managed • frequency of inspections <p>Provide two recent examples of completed workplace safety inspections and include status of corrective actions.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity.</p>
MB38:	Frequency of inspections	The organisation shall demonstrate how often work site inspections are carried out and explain why that frequency is appropriate for the organisation.	How often do you carry out these inspections and why is this viewed as an appropriate frequency?	Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): At start of every job (prestart), daily, weekly, fortnightly, monthly, other.	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
<p>SUB-CONTRACTORS AND PCBU'S</p> <p>(NOTE THIS SECTION – OTHER THAN MB40 - APPLIES ONLY TO SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED AND SCORED AS SUCH.</p>					
MB39:	Contractor management process	The organisation shall document a process for managing its sub-contractors	<p>Do you have a documented procedure for the management of sub-contractors?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>Documented procedure supplied. Procedure should cover (and reflect WorkSafe Guidance):</p> <ul style="list-style-type: none"> • Prequalification • Contractor selection and requirements setting • Pre-commencement (induction, SSSP sign off) • Contractor monitoring • Contractor audit and review. 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB40:	Sub-contractor engagement	The organisation shall ensure that all sub-contractors have completed a recognised H&S pre-qualification assessment or cross-recognised assessment or certification.	Do you prequalify (H&S) each subcontractor (PCBU) prior to engagement to confirm they have an appropriate health and safety management system? “NA Possible” if sub-contractors clearly not engaged.	Documented procedure or description of process confirms subcontractors are prequalified. Provide two examples of recent sub-contractor H&S prequalification.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements evidence that all sub-contractors are on the Tōtika register

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB41:	Cooperation, communication, and consultation with sub-contractors	The organisation shall demonstrate how it communicates, consults and co-operates on matters of health and safety.	Do you have processes to ensure you communicate and work with subcontractors on matter of health and safety to ensure work is coordinated to manage risks to H&S. "NA Possible" if sub-contractors clearly not engaged.	<p>Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship):</p> <ul style="list-style-type: none"> • how minimum H&S requirements are set with subcontractors (contracts, agreed minimum requirements, SSSP review and sign off) • how sub-contractors are inducted into the H&S program • what communication processes/methods are set up and used with sub-contractors (prestart briefings, toolbox meetings, weekly H&S and/or operations meetings, monthly safety or operations/project meetings, electronic communications) • how work activity is coordinated with the subcontractor/s. (e.g. JSA or PTW systems, via work coordination meetings) <p>Evidence of the above is provided.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB42:	Performance monitoring	The organisation shall show how sub-contractor performance is monitored and how ongoing learning and improvement is achieved.	<p>Do you regularly monitor your contractors H&S performance and provide feedback on this to them?</p> <p>If yes what is the frequency of this and why is this viewed as appropriate?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>Documented procedure/process or detailed description should typically include how the following is done:</p> <ul style="list-style-type: none"> • physical works inspection, • observation workers/activity, • assessment against a JSA/TA/SWMS (or similar) • audit against sub-contractor SSSP (or similar) • collection and review of incident information <p>Frequency and reasoning for each type of monitoring activity described in line with the following (and viewed as appropriate for the nature of the operation): daily, weekly, fortnightly, monthly, other.</p> <p>Evidence of the above is provided</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB43:	Cooperation, communication, and consultation with other PCBU's	The organisation shall demonstrate how it communicates, consults and co-operates on matters of health and safety with other PCBU's.	<p>Do you have processes to consult, communicate, and coordinate activities with other organisations you might work with or in the vicinity of?</p> <p>Construction contractor/supplier</p> <p>"NA Required" if a Principal Contractor as question asked in Core Criteria Question PC01.</p>	<p>Documented procedure/process or detailed description shows how the organisation effectively manages overlapping duties including:</p> <ul style="list-style-type: none"> • ensuring each work activities are planned to avoid negatively impacting each other • how will each organisation carry out their work activities safely • assessment of who else may be affected by the work activity? • ongoing exchange of relevant information between organisations • managing communication to all workers across all organisations if required • co-ordination of emergency procedures • sharing, maintenance and use of shared facilities 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how top management regularly meet with other PCBU top management to discuss and collaborate on H&S matters</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PLANT & EQUIPMENT					
MB44:	Maintenance	The organisation shall document a process to ensure appropriate plant and equipment maintenance is achieved.	<p>Do you have a procedure or documented process for the appropriate maintenance of any Plant and/or equipment you use as part of your work?</p> <p>“NA Possible” if plant and equipment clearly not used.</p> <p>Plant and equipment refers to industrial plant and equipment including mobile P&E, , lifting equipment (slings, strops, chains), and safety equipment (harnesses, lanyards, gas testers etc)</p>	<p>Documented procedure/process supplied.</p> <p>Provide samples of maintenance register/s (or similar) that show maintenance is carried out for:</p> <ul style="list-style-type: none"> • mobile plant and equipment • vehicles • lifting equipment • safety equipment <p>Register/s (or similar) should show at least: item, date serviced, whether item met service requirements, any maintenance requirements, next service date.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB45:	Operation	The organisation shall demonstrate how plant and equipment operations are effectively managed and monitored.	Do you have processes and systems for managing and monitoring plant and equipment operations?	Evidence should cover: <ul style="list-style-type: none"> • H&S training and competency assessment for plant operators • How the organisation tracks where plant and equipment is operating and that appropriate control measures are in place. • How the organisation ensures only trained, competent and authorised people operate plant and equipment. 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements the organisation shall demonstrate innovative controls to reducing risk to people from plant and equipment

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARDOUS SUBSTANCES					
MB46:	Management	The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances.	Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.	Documented procedure/process supplied. Should cover: <ul style="list-style-type: none"> • identification of hazardous substances • development and maintenance of a hazardous substances inventory • SDS management (receipt, compilation, communication) • Storage of hazardous substances • Transportation of hazardous substances (if applicable) • Training requirement for workers on safe use of hazardous substances they use or are exposed to 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of:</p> <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB47:	Inventory	The organisation shall document and maintain an accurate hazardous substances inventory.	<p>Do you maintain a hazardous substances inventory? (as per the requirements of the Haz Sub Regs)</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Provide a hazardous substances inventory covering the following minimum elements:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements.

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB48:	Safety Data Sheets and labelling	<p>The organisation shall show how current safety data sheets are obtained and how the contents are communicated to workers using the substances.</p> <p>The organisation shall demonstrate how it confirms that all hazardous substances are appropriately labelled and marked.</p>	<p>Describe how you get safety data sheets (SDS) for your hazardous substances and how these are communicated/provided to your workers.</p> <p>Describe how you ensure all hazardous substances are appropriately labelled and marked.</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Covered in procedure in MB47 or description how SDS are sourced from suppliers or via internet/database or similar, where they are located, and how they communicate this to workers.</p> <p>Three recent SDS (< 5 years old) provided for three substances from inventory.</p> <p>Description of how hazardous substances are appropriately labelled.</p>	<ul style="list-style-type: none"> • 0 – no evidence provided • 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. • 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. • 3 – See details and minimum evidence requirements elements. • 4 – In addition to minimum evidence requirements: • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance • The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB49:	Hazardous Substance Training	The organisation shall provide evidence that they have provided the required training to workers in the use of hazardous substances they may use.	<p>Have workers been trained in the safe use and handling of the hazardous substances they use or are exposed to?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Describe what hazardous substances training is provided and include in this:</p> <ul style="list-style-type: none"> Who has provided the training What the training covered (must cover hazards of the substance/s, how to use, transport, store safely, emergency measures) <p>Evidence training has been provided – can reference Training Register in SB15 if this contains the records. Alternatively provide records for a sample of three workers.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. Information on all hazardous substances the worker is likely to be exposed to Physio-chemical and health hazardous of those substances Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 The actions taken in an emergency involving a hazardous substance The PCBU should have a training matrix detailing records of training and instruction given to each worker Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
H&S PERFORMANCE HISTORY					
MB50:	Prosecution or convictions	Organisation provides details of any prosecution of the business, directors, or senior management relating to health and safety in the last 5 years.	<p>Have you been convicted of a Health & Safety offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required.</p>	n/a
MB51:	Enforcement action	Organisation provides details of enforcement action in the last 5 years by any regulator (e.g. prohibition or improvement notice). This will also include any enforceable undertaking.	<p>Have you had any enforcement action taken against you by an H&S Regulator in the last 5 years? This includes prohibition or improvement notices, or formal warnings? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. details of the enforcement action 2. the current status of enforcement action <p>a copy of the primary document relating to the enforcement action</p>	<p>No score given.</p> <p>Information provision only</p>	n/a

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB52:	Investigations	Organisation provides details of any investigation by any regulator regarding a health and safety in the last 5 years.	<p>Have you ever been investigated by an H&S Regulator in the last 5 years? If yes, provide the following details and evidence:</p> <p>a copy or summary of the investigation, including required actions, identified by the Regulator.</p>	<p>No score given.</p> <p>Information provision only</p>	n/a
MB53:	Environmental offences	Organisation provides details of prosecutions or convictions for environmental issues in the last 5 years.	<p>Have you been convicted of an Environmental offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required.</p>	n/a

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
MB54:	Awards and recognitions	Organisation provides details of awards and recognitions relating to health and safety in the last 5 years.	<p>Have you been recognised by clients or other external bodies for H&S excellence, innovation or problem solving in the last 5 years?</p> <p>If yes provide a description of the award and attach a copy of it.</p>	<p>No score given.</p> <p>Information provision only</p>	n/a

QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 3 SUPPLIERS

All questions answered YES should be supported by minimum required evidence. Suppliers should have option for having certain questions found “Not Applicable” to them if they provide sufficient reason for this to be accepted. These questions are identified as “NA Possible”.

The frequency of assessment for Cat 3 Suppliers is every year.

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
	Alternate Certification or assessment	See scheme rules (Page 15) for full description of external certification and assessment criteria. IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED	Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments? <ul style="list-style-type: none"> ISO45001 certification 	If yes, the following must be provided: <ul style="list-style-type: none"> Name of assessment Name of third-party assessor, current contact phone number, email and website details (to check validity) Expiry date Status / Level of achievement (if applicable) e.g. Developing, Performing or Leading for SafePlus Copy of certificate and report issued by third party assessor	Supplier can upload evidence directly into the Tötika through their supplier dashboard. If minimum evidence is met the supplier is graded and scored as follows: Current ISO 45001 certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit.

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LEADERSHIP					
LB1:	H&S Policy	<p>The organisation shall have a signed policy that is reviewed at least annually, is signed/dated by top management and shows how the business is organised to deliver health and safety (including responsibilities and accountabilities). The policy shall include a statement to commit to:</p> <ul style="list-style-type: none"> • legal compliance • good practice • consulting with workers on health and safety matters • Continuous improvement 	<ul style="list-style-type: none"> • Do you have a health and safety policy that sets out leadership and commitment requirements for good health and safety practice? 	<p>If yes, the following should be evidenced:</p> <p>A policy document that is reviewed at least annually, is signed/dated by top management and shows how the business is organised to deliver health and safety (including high level responsibilities and accountabilities). The policy shall include a statement to commit to:</p> <ul style="list-style-type: none"> • legal compliance • good practice • consulting with workers on health and safety matters 	<p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB2:	H&S Policy Communication	The organisation shall show how the policy is communicated to workers (including when it is updated)	How do you communicate the health and safety policy to workers and confirm they understand it?	<p>Via induction or other training/briefing with sign off by workers confirming understanding.</p> <p>Evidence required that supports this is happening e.g. records.</p>	<p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p>
LB3:	Accountabilities	The organisation has defined health and safety accountabilities for key management roles and workers	Are H&S accountabilities/responsibilities allocated to management roles within your organisation?	<p>Describe what H&S accountabilities are applied to management roles in the organisation and how this is done.</p> <p>Identify the most senior manager and their role with overall accountability for H&S</p> <p>Provide two different examples of job descriptions (or similar) with specific H&S requirements included.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates all governance and leadership roles within the organisation have specific responsibilities and accountabilities for H&S, including specific objectives linked to their performance and remuneration.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB4:	Dealing with H&S Issues	The organisation has processes to deal with work-related H&S issues including tracking agreed actions to completion.	Does your business have processes to deal with work-related H&S issues including tracking agreed actions to completion?	<p>Separately describe two issues your business managed that demonstrates your approach to managing H&S related issues. Each example should include:</p> <ul style="list-style-type: none"> • a description of the issue • who the issue affected? • how the issue was managed • the actions that were required to be implemented and who they were assigned to • how actions were tracked to completion • the overall outcome achieved by the process 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation has included a feedback loop mechanism to an implemented confidential H&S reporting system.</p>
LB5:	Demonstrating Active Commitment	The organisations senior leaders actively demonstrate their commitment to the health and safety of workers.	Do the senior leaders of your organisation actively and positively demonstrate their commitment to the health and safety of workers?	<p>Describe what H&S processes and activities senior managers are engaged in. This should include:</p> <ul style="list-style-type: none"> • whether H&S is an agenda item at management meetings • H&S activities/programs where they are engaging with workers in the field • Involvement in H&S Committees or similar • The setting and monitoring of H&S performance indicators for the organisation <p>Provide recent evidence for all of the above.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements this is supported by at least two concurrent safety climate surveys (separated by 12 week periods) showing that worker perceptions of management commitment to safety are good.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB6:	Considering H&S Impacts	The organisations senior leaders consider the impacts on health and safety when making business decisions.	Do the senior leaders of your organisation actively consider the impacts on health and safety when making business decisions?	<p>Provide two examples where your business leaders actively considered the impacts of H&S when making a business decision (in relation to a project, capex, major change etc). For each example this should include:</p> <ul style="list-style-type: none"> • a description of the business decision • what the potential H&S impacts of the decision were and who they were likely to impact on. • what decision was made to manage the H&S impacts • the success achieved by the decision in managing H&S impacts on workers 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how the wellbeing, health, and safety of all people affected are an integrated consideration on all senior management and board decisions.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PROCESSES TO SUPPORT HEALTH AND SAFETY					
LB7:	Documented system and procedures	The organisation shall state if they have a documented H&S management system and procedures.	Do you have documented health and safety management system (HSMS) and procedures/processes covering core health and safety elements?	Statement to this effect plus a list of the documented procedures/processes that make up the HSMS. This list should cover the minimum processes/procedures covered under the Core Criteria. Further sections require evidence of specific documented processes to be provided.	0 – no documented procedures 1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document. 2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document 3 – See details and minimum evidence requirements elements. 4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation).
LB8:	Competent H&S Advice	The organisation accesses and uses competent H&S advice.	Do you and your workers have access to competent H&S advice? Construction contractor/supplier “NA Required” if a Principal Contractor as question asked in Core Criteria Question PC05.	Describe who advises your organisation on H&S. Include in the description: <ul style="list-style-type: none">• when and/or why you get H&S advice and support• name/s of advisor/s• whether they are internal/external• their area(s) of expertise• their qualifications and/or professional registration Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program.	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – Meets the minimum evidence requirements and can provide evidence that advisor/s hold at least a Professional level (or equivalent) membership of a HASANZ member professional body (e.g. NZISM)

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB9:	Resourcing H&S	The organisation plans and budgets for health and safety expenditure and provides workers time and capability to apply H&S processes.	How does your organisation plan and budget for H&S and how do you provide workers time and capability to apply H&S processes?	<p>If your organisation has a budget for H&S describe the following:</p> <ul style="list-style-type: none"> • who sets and approves the budget (role/s) • how the budget is set (methodology - e.g. % increase on last year, amount per person, based on forward work planning or a combination of things). • who has approval to spend the budget • what the budget covers e.g. PPE, training, checks, equipment etc? <p>If your business does not have a H&S budget describe how you plan for H&S expenditure.</p> <p>Describe how your organisation ensures that workers are allocated the required time and capability they need to stay healthy and safe in the workplace. The following should be covered:</p> <ul style="list-style-type: none"> • allocation of training time for workers to develop required H&S competencies e.g. safe use of plant and equipment, • allocation of time for planning of H&S aspects of work activity e.g. JSA, TA, SWMS, SSSP's etc • time allocated for H&S activities including reviewing and checking working conditions, equipment, safety and site inspections, audits etc. 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how it prioritises expenditure on operational health and safety. The organisation shall also demonstrate budget for supporting worker mental health and wellbeing.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB10:	Site Specific Health and Safety plans	The organisation develops health and safety plans where the scope of work/project requires it.	<p>When working on a Client's site do you develop site (or service) specific health and safety plans (SSSPs)?</p> <p>Construction contractor/supplier</p> <p>"NA Required" if a Principal Contractor as question asked in Core Criteria Question PC03.</p>	<p>Provide 2 recent examples of these.</p> <p>Content should be site/project or service specific (not a generic HSMS or plan). Should cover the following as a minimum.</p> <ul style="list-style-type: none"> • Site/project or service scope of work and phases (latter if relevant) • H&S accountabilities • Hazard/risk management approaches to be applied • Training and competency • Incident reporting and investigation requirements • Sub-contractor and other PCBU management/engagement • Emergency response requirements • Inspection and audit 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how front-line workers contribute to the development of site or project specific plans.</p>
LB11:	Continuous Improvement	The organisation shall have processes in place to review and improve all its H&S processes	<p>How do you ensure H&S is continually improved within your organisation?</p>	<p>Describe how your continual H&S improvement processes work within your organisation.</p> <p>Provide two examples (within the last two years) of improvements made to the Health & Safety of your business and its workers. Include in the details:</p> <ul style="list-style-type: none"> • a description of the improvement • how was the improvement initiated including the benefits of the improvement when implemented? • when and how the improvement made? • The benefits of the improvement? 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how methodologies such as learning teams, appreciative inquiry, HOP, HPE or similar are used to engage front-line workers in improvement processes.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB12:	Health and Safety Performance Goals	The organisation shall have processes in place to set H&S goals/objectives	Does your organisation set health and safety goals/objectives?	<p>Describe how your organisation sets its H&S goals/objectives including:</p> <ul style="list-style-type: none"> • how goals/objectives are set • what your current goals/objectives are • how achievement of these goals/objectives is tracked <p>Provide evidence of these goals/objectives being in place e.g. meeting minutes, plans, etc.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a H&S strategy developed that shows allocation of responsibility and accountability outside of the H&S team/advisor roles.</p>
LB13:	Monitoring Health and Safety Performance	The organisation shall have processes in place to monitor health and safety performance.	How does your organisation monitor its H&S performance?	<p>Describe how your organisation monitors H&S performance including:</p> <ul style="list-style-type: none"> • what performance measures are used to monitor H&S (lead and lag indicators) • how this is reported (e.g. management reports, presentations, intranet etc) • frequency of reporting • who is responsible for reporting • who receives or has access to the reports e.g. all workers, managers, managing director, board) <p>Provide the three most recent H&S performance reports.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how H&S performance is monitored using methods other than injury frequency rates.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB14:	H&S Audit	The organisation has processes in place to audit health and safety systems and processes.	Does your organisation have a procedure/process in place for conducting audits of its HSMS on a regular basis?	<p>Documented procedure/process supplied or describe what the process to make this happen is, including:</p> <ul style="list-style-type: none"> • frequency of audits • responsibility for arranging audits • who carry's them out • who reviews and improves audit findings • processes to capture and implement required corrective actions identified in audit <p>Provide a copy of the two most recent HSMS audits that have been undertaken.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how top management are engaged in formerly reviewing the HSMS at least annually.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SKILLS, TRAINING, COMPETENCY, AND SUPERVISION					
LB15:	Training and competence processes	The organisation shall have a documented process relating to the training and competency of workers in order that they can work safely.	<p>Do you have a documented process for the training and competency of your workers to ensure they can complete their work safely? This may include:</p> <ul style="list-style-type: none"> • On job training • Trade certification e.g. electrical, plumbing, carpentry, mechanics, boilers, rigging, welding etc • Licenses e.g. forklift, HT • Specialist Training e.g. hazardous substances, work at heights, permit receiver, isolations • Management of refresher training 	<p>Documented procedure supplied. This should include:</p> <ul style="list-style-type: none"> • how H&S training requirements are determined. • how and where training records are updated and stored <p>Provide training matrix (or similar) showing H&S training required by role.</p> <p>Provide training register (or similar) showing for workers:</p> <ul style="list-style-type: none"> • Type of training • When completed • Any refresher requirements/dates 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how in-field verification of skill is applied.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB16:	Induction	The organisation shall show how employees and contractors (workers?) are provided with a health and safety induction to the organisation and how induction for sites and work areas are carried out and recorded.	<p>Do you have a worker induction program in place that covers off employees and contractors and inducts them into the workplace and/or worksites?</p> <p>The induction should cover off key health and safety elements such as policy, responsibilities, hazard/risk management, emergencies, training, and incident reporting, and worker participation</p>	<p>Provide induction procedure (may be part of wider training procedure). Should include:</p> <ul style="list-style-type: none"> • who receives an induction • when is the induction provided • what is included in the induction • how records are held <p>Training register supplied above should ideally show induction training has been completed.</p> <p>Provide records of three recently completed inductions.</p>	<p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB17:	Foundation training and assessment	<p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p>	<p>Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations, Besafe Foundation Toolbox, Site Safe Passport, in-house training etc.).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment in line with industry guidance?</p> <p>“NA Possible”</p>	<p>Training register supplied above shows foundation level training has been completed.</p> <p>Construction contractor/supplier Training or competency register show that a foundation knowledge assessment has been carried out.</p> <p>Knowledge assessment must be independently delivered of the training provider.</p>	<p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB18:	Hazardous Work Training, Licenses and Certifications	The organisation shall provide evidence that employees (workers?) required to do specifically hazardous work (e.g. work from height, work with asbestos, underground work, confined space entry, work around mobile plant or vehicles, buried services, electricity, hazardous substances, radiation etc.) have been provided with appropriate training and/or hold the required licenses or certifications.	<p>Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications?</p> <p>Hazardous work includes but is not limited to: work from height, work with asbestos, underground work, confined space entry, work around mobile plant or vehicles, buried services, electricity, hazardous substances, radiation etc.</p> <p>“NA Possible” if hazardous work not undertaken</p>	<p>Describe the following:</p> <ul style="list-style-type: none"> • what hazardous work has been identified • what the required specialist training, a licence, or certification is for that work <p>Training register supplied above shows specialist training has been completed.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows an example of how hazardous work training is applied and monitored for efficacy.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB19:	Supervision of vulnerable workers	The organisation shall show how workers under training, young workers and other vulnerable workers are appropriately supervised and coached.	Describe how young, new, and other vulnerable workers are appropriately supervised and coached/trained on the job.	<p>Covered in training procedure or description. This shows that there is an on the job training/supervision process that ensures workers who are not yet competent (trained or experienced in a specific task or use of equipment), are directly supervised by someone who is competent (i.e. has relevant training and experience) until such time as they are confident in carrying out their tasks safely.</p> <p>Provide records/evidence of this on job training and supervision.</p>	<p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EVENT REPORTING, RECORDING, AND INVESTIGATION					
LB20:	Event recording, reporting and investigation procedure	The organisation shall document an H&S event recording, reporting and investigation process.	Do you have a documented procedure for event recording, reporting and investigation?	Provide documented procedure. Provide three most recent event/incident report examples.	0 – no evidence provided 1 – Reporting is evident but not follow-up/learning/investigation. 2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity. 3 – See details and minimum evidence requirements elements. 4 – Business has a confidential reporting process for all workers, with evidence that it is implemented an operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents.
LB21:	Investigation	The organisation shall demonstrate that they investigate all significant H&S events including high potential near misses.	Do you investigate all significant H&S events including high potential near misses?	Either covered in procedure above or a description that demonstrates this. Provide copies of three recently completed investigation reports (this should be more than the H&S event/incident report). The investigations must clearly show an understanding of the need to uncover “root causes” and not fixate on individual actions.	0 – no evidence provided 1 – There is a process, but evidence of investigations being carried out. 2 – Some incidents are investigated. 3 – See details and minimum evidence requirements elements. 4 – Investigations documented and undertaken by a person trained and competent in investigations.

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB22:	WorkSafe Notification	The organisation shall demonstrate that they understand the notification requirements to Worksafe NZ.	When are you required to notify Worksafe NZ of any Notifiable Work or Event?	Either notifiable work and event requirements covered in procedure above <u>or</u> a description of when the organisation may need to notify WorkSafe of Notifiable Work or an Event.	0 – no evidence provided 1 – n/a 2 – n/a 3 – See details and minimum evidence requirements elements. 4 – n/a
LB23:	Communication and follow-up	The organisation shall demonstrate that they follow-up from investigations with corrective actions, record the findings, and communicate what has been learned to their Workers.	How do you ensure the learning from investigations (formal or informal) are translated to improved work processes via corrective actions, follow up and communication with workers?	Either covered in procedure above or a description that demonstrates this. Must detail the following <ul style="list-style-type: none"> • How corrective actions from investigations are identified, recorded and tracked to completion • How workers are involved in this process, informed of any improvements and given opportunity to suggest further improvements. For two of the investigation examples provided in LB21, provide evidence of the agreed corrective actions and their completion.	0 – no evidence provided 1 – Policy or process exists, but no evidence it is done 2 – Policy or process exists, no recent evidence this is done 3 – See details and minimum evidence requirements elements. 4 – Workers involved in developing and implementing improvements.

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
EMERGENCY MANAGEMENT & RESPONSE					
LB24:	Emergency processes	The organisation shall have documented processes for general emergency management and response.	Do you have documented emergency procedures that cover general emergencies your workers may be exposed to when on your site/s?	Provide the documented procedure. Should cover general emergencies such as fire, earthquake, medical event, tsunami (if relevant), verbal or physical assault (if relevant), bomb threat (if relevant).	<p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p>
LB25:	Specialist Emergency Response	The organisation has emergency response processes for specific/project sites or specialist higher risk work activities it may undertake.	<p>Does your business develop emergency plans for client sites/projects as well as for specialist higher risk work activities e.g. work at height, confined space entry?</p> <p>“NA Possible” if it is clearly demonstrated that no higher risk activities requiring specialist emergency plans, and the organisation always works under a client or principal contractors site/project emergency plan.</p>	<p>Either covered in procedure above or a description that demonstrates how you do this. Must detail the following</p> <ul style="list-style-type: none"> • The process for developing a specific site/project emergency plan. “NA Possible” if organisation always works under a client or principal contractors site/project emergency plan. • The process for developing a specific site/project emergency plan. “NA Possible” if organisation has no higher risk activities requiring specialist emergency plans. <p>Provide a copy of a site/project emergency plan.</p> <p>Provide a copy of a higher risk activity specialist emergency plan.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shows how specialist emergency response plans are contained or connected with a robust business continuity plan. The organisation shall also show how these plans are practiced and ‘pressure’ tested to ensure they will work.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
COMMUNICATION, ENGAGEMENT, AND PARTICIPATION					
LB26:	Open Communication	The organisation shows that it actively promotes open communication on health and safety with workers.	How does your organisation create an environment to support open communication with workers?	<p>Describe how your organisation promotes active communication e.g. policy documents, posters, statements in newsletters, intranet information.</p> <p>Provide two examples (within last two years) that demonstrate open communication in action. They should describe:</p> <ul style="list-style-type: none"> • time, place, participants and type of communication • summary of the communication that occurred • outcome of the communication that occurred 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how the organisation encourages open relationships between people and how workers are encouraged to share 'bad news' with management without the fear of retribution.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB27:	Worker engagement and participation	The organisation shows that they have means to encourage and enable workers to engage and participate in health and safety.	Do you have a documented procedure or process that encourages and allows for workers to engage and participate in H&S matters?	<p>Provide documented procedure or process that sets out how your organisation engages and involves workers in H&S including:</p> <ul style="list-style-type: none"> • H&S committee terms of reference NA Possible • tools and processes used to consult with and seek participation of workers regarding Health & Safety matters that affect them • how workers are consulted on decisions making processes relating to H&S matters <p>Participation process appropriate to nature of organisation.</p> <p>Evidence that this is applied e.g. H&S Committee meeting minutes</p>	<p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB28:	Meetings	The organisation shows that they hold regular/structured meetings with workers (including contractors) where health and safety matters are discussed.	Do you have regular meetings with workers where health and safety matters are discussed, and workers have the opportunity to raise any issues? If yes what is their frequency and why is this viewed as appropriate?	Either covered in procedure above or a description of: <ul style="list-style-type: none"> the type, nature, and frequency of regular/structured meetings with workers where H&S matters are discussed e.g. prestart, toolbox, site, operations, team etc, and the frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): At start of every job, day (prestart), weekly, fortnightly, monthly, other. 	<p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARD/RISK IDENTIFICATION AND PROVISION OF EFFECTIVE CONTROLS					
LB29:	Hazard/risk identification and risk control processes.	The organisation shall document process for how it identifies hazards/risks and selects a range of effective controls (applying the hierarchy) to protect workers and others. Evidence of this occurring in practice shall also be provided.	Do you have a documented procedure for the identification of hazards and management of their risk/s? This includes both hazards and risks associated with a physical environment and those associated with work activities.	<p>Provide documented procedure supplied. The procedure should cover:</p> <ul style="list-style-type: none"> • Responsibilities for hazard/risk identification and management • How all aspects of the organisation are covered • methods used for identifying hazards and assessing their risk including physical location/environment hazards/risks, those associated with work activities, for new projects/sites, when significant change is made. • that both safety and occupational health hazards/risks are considered and covered (appropriate to the organisations risk profile) • the processes for determining appropriate controls using the hierarchy of control • The regular review of hazards and controls <p>Provide a copy of the current hazard/risk register.</p> <p>Provide examples of the application of three hazard/risk identification methods (as described above) that have recently been completed (within last two years).</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB30:	Hazard/risk control communication	The organisation shall provide evidence of how these controls are communicated to those they protect and that they are understood	How do you communicate these hazards and risks and their required controls to you workers, and confirm they understand it?	<p>Describe how this is done (e.g. via induction or other training/briefing (meetings, forums, publications etc) and how workers understanding is confirmed.</p> <p>Evidence required that supports this is happening e.g. records.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care.</p>
LB31:	Hazard/risk control monitoring	The organisation shall provide evidence of how these controls are monitored so they remain effective.	How do you monitor/review the controls for your hazards/risks to ensure they are still effective?	<p>Covered in above procedure and/or description that describes:</p> <ul style="list-style-type: none"> • monitoring/review activity e.g. inspections, post incident review, review of registers, critical risk program review. • Who is responsible for the monitoring activity • How is completion of the monitoring activity confirmed and recorded • What happens if the monitoring activity indicates the control is no longer effective 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB32:	Safe Work Instruction	The organisation has effective methods to provide instructions on how to carry out work in a healthy and safe manner for both higher risk routine and non-routine activities.	Do you produce written work instructions, JSA's, Task Analysis, SWMS, and/or standard operating procedures, and/or other specific safety instructions for the work you do?	<p>Covered in above procedure and/or description that describes when and how these written work instructions are produced. Appropriate for the nature risk profile of the organisation.</p> <p>Copy of three from the following: JSA, TA, SoP, or SWMS or similar for work activity.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall demonstrate how front-line workers contribute to the development and improvement of these instructions</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB33:	PPE	<p>The organisation shall demonstrate that appropriate PPE is provided free of charge to workers and how workers are trained to use it correctly. The organisation shall show how PPE is kept serviceable, maintained/cleaned, and suitably stored to ensure effectiveness.</p>	<p>Are all workers provided with appropriate PPE for the work being undertaken, is it regularly checked and maintained and are workers trained and competent in its correct use?</p>	<p>Covered in procedure above or separate documented procedure/process supplied. Shows that appropriate PPE is provided, checked/maintained and workers are trained in use.</p> <p>Provide a list of all PPE currently provided to workers.</p> <p>For three items of PPE on your list, describe how the PPE is managed including how:</p> <ul style="list-style-type: none"> • the type of PPE to purchase is decided e.g. safety rating, cost, combination of factors • workers know when to use and the correct use of the PPE • PPE is managed when not in use • if and when the condition of PPE is checked to make sure it is in good working order (or needs repair / replacement) • it is checked that the PPE is being used effectively (i.e. when doing the task(s) it is required for and is used correctly e.g. worn correctly, correct size etc). <p>Provide copies of evidence (if any) that demonstrates that PPE is being managed as described above e.g. records of PPE checks, replacement of PPE.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
OCCUPATIONAL HEALTH AND WELLNESS					
LB34:	Process for monitoring of health risk	The organisation shall demonstrate that they have identified any health risks to workers and have documented how appropriate health monitoring/surveillance is implemented.	<p>Have you identified any occupational health hazards/risks that require health monitoring/surveillance, and do you carry this out?</p> <p>“NA Possible” if no health hazard exposures</p>	<p>List the identified health hazards/risks that require health monitoring/surveillance.</p> <p>Describe what health monitoring is provided to workers including:</p> <ul style="list-style-type: none"> • what health monitoring is completed e.g. hearing tests, lung function tests, vision, musculoskeletal • who has health monitoring e.g. all workers, testing determined by role / tasks? • Who is the health monitoring completed e.g. by occupational health nurse, doctor • when is health monitoring completed e.g. pre-employment, annual monitoring • what information is reported back to the business when the health monitoring is completed • when and what follow-up is completed based on the results of the monitoring 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB35:	Drugs and alcohol	The organisation has a drug and alcohol policy.	Does your organisation have a workplace drug and alcohol policy?	Provide the policy document and/or details that include the following information: <ul style="list-style-type: none"> • what the organisations stance on drugs and alcohol is • what type of testing is or can be required e.g. pre-employment, post-incident, reasonable cause and / or random tests • whether post-incident testing is carried out • if random testing, how are workers selected for testing, frequency, and what percentage of your workforce are tested 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements demonstrates how the organisation supports and rehabilitates workers providing non-negative results.

<p>LB36:</p>	<p>Stress, Fatigue and Mental Wellbeing</p>	<p>The organisation has processes in place to manage work related stress, fatigue and mental wellbeing.</p> <p>Construction Contractors Only</p> <p>Business is actively engaged with Mates in Construction or equivalent suicide prevention programme</p>	<p>How does your organisation manage work-related stress, fatigue and mental wellbeing?</p>	<ul style="list-style-type: none"> Describe the approach your organisation takes to manage work-related stress, fatigue and mental wellbeing including: any education/training completed by senior leader(s) for identification and/or managing work-related stress, mental wellbeing and/or fatigue in the workplace how work-related stress and fatigue are considered during work/project planning and delivery e.g. required hours off between shifts, task rotation how the mental wellbeing of workers is managed including identifying changes in mental wellbeing of workers and creating positive environments for mental wellbeing Describe one example for work-related stress and fatigue, and one example for mental wellbeing that demonstrates how you managed it for your workers including: how work-related stress and fatigue was addressed in the planning stages, and how issues were identified and reported how mental wellbeing was managed and if there were any instances which required intervention by managers. <p>Construction Contractors Only</p> <p>Evidence the organisation is actively engaged with Mates in Construction or equivalent suicide prevention programme, including provision of General Awareness Training (or similar) to people at all levels. Evidence providing sub-contractors access to those training and resources at a project level.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a formal fatigue management system that evidences fatigue reduction in workers.</p>
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Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HEALTH AND SAFETY INSPECTIONS					
LB37:	Work site health and safety inspection processes	The organisation shall have documented processes that detail how work sites are physically inspected.	Do you have a documented procedure for the physical inspection of worksites other than offices?	<p>Documented procedure supplied.</p> <p>Should cover:</p> <ul style="list-style-type: none"> • physical environment checks • check for safe worker behaviour • identifying and recording hazards • how corrective actions are managed • frequency of inspections <p>Provide three recent examples of completed workplace safety inspections and include status of corrective actions.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB38:	Frequency of inspections	The organisation shall demonstrate how often work site inspections are carried out and explain why that frequency is appropriate for the organisation.	How often do you carry out these inspections and why is this viewed as an appropriate frequency?	Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): At start of every job (prestart), daily, weekly, fortnightly, monthly, other.	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
<p>SUB-CONTRACTORS AND PCBU'S</p> <p>(NOTE THIS SECTION – OTHER THAN LB39 - APPLIES ONLY TO SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED AND SCORED AS SUCH.</p>					
LB39:	Contractor management process	The organisation shall document a process for managing its sub-contractors	<p>Do you have a documented procedure for the management of sub-contractors?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>Documented procedure supplied. Procedure should cover (and reflect WorkSafe Guidance):</p> <ul style="list-style-type: none"> • Prequalification • Contractor selection and requirements setting • Pre-commencement (induction, SSSP sign off) • Contractor monitoring • Contractor audit and review. 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes.</p>
LB40:	Sub-contractor engagement	The organisation shall ensure that all sub-contractors have completed a recognised H&S pre-qualification assessment or cross-recognised assessment or certification.	<p>Do you prequalify (H&S) each subcontractor (PCBU) prior to engagement to confirm they have an appropriate health and safety management system?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>Documented procedure or description of process confirms subcontractors are prequalified.</p> <p>Provide two examples of recent sub-contractor H&S prequalification.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements evidence that all sub-contractors are on the Tōtika register</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB41:	Cooperation, communication, and consultation with sub-contractors	The organisation shall demonstrate how it communicates, consults and co-operates on matters of health and safety.	Do you have processes to ensure you communicate and work with subcontractors on matter of health and safety to ensure work is coordinated to manage risks to H&S. “NA Possible” if sub-contractors clearly not engaged.	<p>Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship):</p> <ul style="list-style-type: none"> • how minimum H&S requirements are set with subcontractors (contracts, agreed minimum requirements, SSSP review and sign off) • how sub-contractors are inducted into the H&S program • what communication processes/methods are set up and used with sub-contractors (prestart briefings, toolbox meetings, weekly H&S and/or operations meetings, monthly safety or operations/project meetings, electronic communications) • how work activity is coordinated with the subcontractor/s. (e.g. JSA or PTW systems, via work coordination meetings) <p>Evidence of the above is provided.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB42:	Performance monitoring	The organisation shall show how sub-contractor performance is monitored and how ongoing learning and improvement is achieved.	<p>Do you regularly monitor your contractors H&S performance and provide feedback on this to them?</p> <p>If yes what is the frequency of this and why is this viewed as appropriate?</p> <p>“NA Possible” if sub-contractors clearly not engaged.</p>	<p>Documented procedure/process or detailed description should typically include how the following is done:</p> <ul style="list-style-type: none"> • physical works inspection, • observation workers/activity, • assessment against a JSA/TA/SWMS (or similar) • audit against sub-contractor SSSP (or similar) • collection and review of incident information <p>Frequency and reasoning for each type of monitoring activity described in line with the following (and viewed as appropriate for the nature of the operation): daily, weekly, fortnightly, monthly, other.</p> <p>Evidence of the above is provided</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB43:	Cooperation, communication, and consultation with other PCBU's	The organisation shall demonstrate how it communicates, consults and co-operates on matters of health and safety with other PCBU's.	<p>Do you have processes to consult, communicate, and coordinate activities with other organisations you might work with or in the vicinity of?</p> <p>Construction contractor/supplier</p> <p>"NA Required" if a Principal Contractor as question asked in Core Criteria Question PC01.</p>	<p>Documented procedure/process or detailed description shows how the organisation effectively manages overlapping duties including:</p> <ul style="list-style-type: none"> • ensuring each work activities are planned to avoid negatively impacting each other • how will each organisation carry out their work activities safely • assessment of who else may be affected by the work activity? • ongoing exchange of relevant information between organisations • managing communication to all workers across all organisations if required • co-ordination of emergency procedures • sharing, maintenance and use of shared facilities 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how top management regularly meet with other PCBU top management to discuss and collaborate on H&S matters</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PLANT & EQUIPMENT					
LB44:	Maintenance	The organisation shall document a process to ensure appropriate plant and equipment maintenance is achieved.	<p>Do you have a procedure or documented process for the appropriate maintenance of any Plant and/or equipment you use as part of your work?</p> <p>“NA Possible” if plant and equipment clearly not used.</p> <p>Plant and equipment refers to industrial plant and equipment including mobile P&E, , lifting equipment (slings, strops, chains), and safety equipment (harnesses, lanyards, gas testers etc)</p>	<p>Documented procedure/process supplied.</p> <p>Provide samples of maintenance register/s (or similar) that show maintenance is carried out for:</p> <ul style="list-style-type: none"> • mobile plant and equipment • vehicles • lifting equipment • safety equipment <p>Register/s (or similar) should show at least: item, date serviced, whether item met service requirements, any maintenance requirements, next service date.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB45:	Operation	The organisation shall demonstrate how plant and equipment operations are effectively managed and monitored.	Do you have processes and systems for managing and monitoring plant and equipment operations?	Evidence should cover: <ul style="list-style-type: none"> • H&S training and competency assessment for plant operators • How the organisation tracks where plant and equipment is operating and that appropriate control measures are in place. • How the organisation ensures only trained, competent and authorised people operate plant and equipment. 	0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements the organisation shall demonstrate innovative controls to reducing risk to people from plant and equipment

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
HAZARDOUS SUBSTANCES					
LB46:	Management	The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances.	Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.	Documented procedure/process supplied. Should cover: <ul style="list-style-type: none"> • identification of hazardous substances • development and maintenance of a hazardous substances inventory • SDS management (receipt, compilation, communication) • Storage of hazardous substances • Transportation of hazardous substances (if applicable) • Training requirement for workers on safe use of hazardous substances they use or are exposed to 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of:</p> <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB47:	Inventory	The organisation shall document and maintain an accurate hazardous substances inventory.	<p>Do you maintain a hazardous substances inventory? (as per the requirements of the Haz Sub Regs)</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Provide a hazardous substances inventory covering the following minimum elements:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements.

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB48:	Safety Data Sheets and labelling	<p>The organisation shall show how current safety data sheets are obtained and how the contents are communicated to workers using the substances.</p> <p>The organisation shall demonstrate how it confirms that all hazardous substances are appropriately labelled and marked.</p>	<p>Describe how you get safety data sheets (SDS) for your hazardous substances and how these are communicated/provided to your workers.</p> <p>Describe how you ensure all hazardous substances are appropriately labelled and marked.</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Covered in procedure in LB46 or description how SDS are sourced from suppliers or via internet/database or similar, where they are located, and how they communicate this to workers.</p> <p>Three recent SDS (< 5 years old) provided for three substances from inventory.</p> <p>Description of how hazardous substances are appropriately labelled.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements:</p> <ul style="list-style-type: none"> • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance <p>The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders</p>

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB49:	Hazardous Substance Training	The organisation shall provide evidence that they have provided the required training to workers in the use of hazardous substances they may use.	<p>Have workers been trained in the safe use and handling of the hazardous substances they use or are exposed to?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p>	<p>Describe what hazardous substances training is provided and include in this:</p> <ul style="list-style-type: none"> • Who has provided the training • What the training covered (must cover hazards of the substance/s, how to use, transport, store safely, emergency measures) <p>Evidence training has been provided – can reference Training Register in LB15 if this contains the records. Alternatively provide records for a sample of four workers.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> • Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. • Information on all hazardous substances the worker is likely to be exposed to • Physio-chemical and health hazardous of those substances • Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance • Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance • Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 • The actions taken in an emergency involving a hazardous substance • The PCBU should have a training matrix detailing records of training and instruction given to each worker • Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
H&S PERFORMANCE HISTORY					
LB50:	Prosecution or convictions	Organisation provides details of any prosecution of the business, directors, or senior management relating to health and safety in the last 5 years.	Have you been convicted of a Health & Safety offence within the last 5 years? If yes, provide the details of the offence including details of the: <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	No score given. Information provision only Court Base search required.	n/a

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB51:	Enforcement action	Organisation provides details of enforcement action in the last 5 years by any regulator (e.g. prohibition or improvement notice). This will also include any enforceable undertaking.	<p>Have you had any enforcement action taken against you by an H&S Regulator in the last 5 years? This includes prohibition or improvement notices, or formal warnings? If yes, provide the following details and evidence:</p> <ol style="list-style-type: none"> 1. details of the enforcement action 2. the current status of enforcement action <p>a copy of the primary document relating to the enforcement action</p>	<p>No score given.</p> <p>Information provision only</p>	n/a
LB52:	Investigations	Organisation provides details of any investigation by any regulator regarding a health and safety in the last 5 years.	<p>Have you ever been investigated by an H&S Regulator in the last 5 years? If yes, provide the following details and evidence:</p> <p>a copy or summary of the investigation, including required actions, identified by the Regulator.</p>	<p>No score given.</p> <p>Information provision only</p>	n/a

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
LB53:	Environmental offences	Organisation provides details of prosecutions or convictions for environmental issues in the last 5 years.	<p>Have you been convicted of an Environmental offence within the last 5 years? If yes, provide the details of the offence including details of the:</p> <ol style="list-style-type: none"> 1. offence you were charged with including when and where it occurred 2. conviction, when it occurred and the details of what the sentence 	<p>No score given.</p> <p>Information provision only</p> <p>Court Base search required.</p>	n/a
LB54:	Awards and recognitions	Organisation provides details of awards and recognitions relating to health and safety in the last 5 years.	<p>Have you been recognised by clients or other external bodies for H&S excellence, innovation or problem solving in the last 5 years?</p> <p>If yes provide a description of the award and attach a copy of it.</p>	<p>No score given.</p> <p>Information provision only</p>	n/a

Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
SITE VISIT VERIFICATION					
Suspended	Onsite verification	An onsite verification audit from an approved Tōtika member scheme has verified appropriate planning, implementation, learning, and continuous improvement on all elements of the core criteria, where evidence has been submitted for pre-qualification assessment and where criteria elements are applicable to the supplier.	(RE-INCLUSION OF THIS ELEMENT SHALL BE CONSIDERED BY SCHEME GOVERNANCE IN 2023)	Member scheme to carry out an onsite verification visit to verify that the evidence provided during desktop assessment is implemented and effective across the organisation.	n/a

QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR PRINCIPAL CONTRACTORS (CONSTRUCTION SECTOR ONLY)

DEFINITION

A principal contractor is the contractor with control over the construction phase of a project involving more than one contractor.

They should be appointed in writing by the client (commercial or domestic) to plan, manage, monitor and coordinate health and safety during this phase.

All questions answered YES should be supported by minimum required evidence. Suppliers should have option for having certain questions found "Not Applicable" to them if they provide sufficient reason for this to be accepted. These questions are identified as "NA Possible".

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC01	Cooperation, communication, and consultation with other PCBU's	The organisation shall demonstrate how it takes the lead in ensuring there are robust processes in place to ensure all PCBU's on a site consult, co-operate, and coordinate activities on matters of health and safety with each other.	Do you have processes for you to take the lead in establishing mechanisms that ensure all PCBU's are able to effectively consult, cooperate, and coordinate (CCC) activities to manage H&S with other organisations (PCBU's) on site?	<p>Documented procedure/process or detailed description shows how the organisation effectively leads putting in place processes to manage overlapping duties including:</p> <ul style="list-style-type: none"> • appropriate processes to ensure clients and their representatives (engineers, designers etc) are actively engaged in identifying and managing H&S activities and issues within their sphere of influence through CCC over the life of the project. • assessment of who else may be affected by the work activity? • how will each organisation carry out their work activities safely • ongoing exchange of relevant information between organisations • managing communication to all workers across all organisations if required • co-ordination of emergency procedures • how assurance that the above is happening in practice over the life of the project (inspections and audits). 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how it convenes monthly H&S meetings with top management from all PCBU's and can demonstrate how this group agree and set minimum H&S expectations.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC02:	On site welfare	The organisation provides facilities for the welfare of workers on sites that they manage.	Do you have documented processes that ensure the establishment of appropriate on-site welfare facilities for workers?	<p>Provide the policy or procedure that ensures workers have the required facilities including:</p> <ul style="list-style-type: none"> • toilets • drinking water • hand-washing facilities • eating and break facilities • a place for unwell workers to rest if it is unreasonable for them to leave the workplace. <p>Provide at least three recent examples (within last two years) that shows the provision of the above facilities at sites where the organisation has been the Principal Contractor.</p> <p>Provide evidence that the organisation has reviewed this policy / procedure and verified that it is being applied to its sites.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how innovation is applied to applying high standards of worker welfare across all work areas.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC03	Project planning and design	The organisation has documented processes that enable H&S to be planned and designed into the project and these processes are reviewed for continuous improvement	Do you have documented processes for the planning of project H&S approaches structures and activities and ensuring they are adequately designed into the overall project plans	<p>Provide documented project H&S planning processes. Should include:</p> <ul style="list-style-type: none"> • H&S plan is specific for each project and includes: <ul style="list-style-type: none"> ○ Site/project or service scope of work and phases (latter if relevant) ○ H&S accountabilities ○ Hazard/risk management approaches to be applied ○ Training and competency ○ Incident reporting and investigation requirements ○ Sub-contractor and other PCBU management/engagement ○ Emergency response requirements ○ Inspection and audit • ensuring project (construction) phases and their interfaces are clearly defined in plans, and all H&S issues and activities associated with them are effectively managed. • mechanisms to ensure other PCBU's and subcontractors H&S plans align with their overarching H&S plan • ensuring each PCBU's and/or sub-contractors work activities are planned and executed to avoid negatively impacting each other <p>Describe and provide two H&S plans and other documented evidence as required for two projects where you have been Principal Contractor that demonstrate project H&S planning and design as described above.</p> <p>Describe and provide evidence of how you review project performance in project and planning and design and carry learnings through into new projects.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall show how collaboration between PCBU's is achieved to deliver designs and plans.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC04	Making the client aware	<p>The organisation has processes to ensure the client is aware of their H&S responsibilities: (Note: where the work is domestic, the PC assumes these responsibilities on their behalf)</p> <ul style="list-style-type: none"> -make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include: -appointing the contractors and designers to the project (including the principal designer and principal contractor on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability -allowing sufficient time and resources for each stage of the project -making sure that any principal designer and principal contractor appointed carry out their responsibilities in managing the project -making sure suitable welfare facilities are provided for the duration of the construction work -maintain and review the management arrangements for the duration of the project -provide pre-construction information to every designer and contractor either bidding for the work or already appointed to the project -ensure that the principal contractor or contractor (for single contractor projects) prepares a construction phase plan before that phase begins -ensure that the principal designer prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site 	How do you ensure the client is aware of their H&S responsibilities and meets them?	Provide a description with supporting documentation of an example from a recent job (within last two years) that demonstrates how it was ensured the client was aware of their H&S responsibilities and how you ensured they met them (or how you dealt with them if they didn't met them).	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show it partners with clients to collaboratively deliver of H&S duties and responsibilities.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC05	H&S management capability	The organisations ensures it provides the necessary skills, knowledge and experience to manage H&S during a project.	Does your organisation ensure it has the necessary skills, knowledge and experience required to manage H&S for the projects it undertakes?	<p>Describe and provide evidence that you have the necessary H&S skills, knowledge and experience relevant to the projects your organisation is Principal Contractor for including:</p> <ul style="list-style-type: none"> • the H&S capability requirements your business has identified it needs (e.g. role requirements / job descriptions) • when and/or why you get H&S advice and support • name/s of advisor/s • whether they are internal/external • their area(s) of expertise • their qualifications and/or professional registration • your CPD programme and/or examples of training and/or development plans for your advisors (which may include in-house training) <p>Describe a recent example of how you used/accessed this competent advice to support your project H&S planning, implementation and improvement.</p> <p>At least one advisor/s must hold at least a Professional level (or equivalent) membership of a recognised health and safety registration body in NZ.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how H&S roles align to the INSHPO Framework</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC06	Managing change	The organisations has processes to ensure changes in plans and/or design are assessed and potential H&S consequences are managed effectively.	Does the organisation have processes to manage changes to project plans and/or designs?	<p>Describe or provide copies of your policies and procedures for managing plan and or design changes.</p> <p>Provide examples of at least two significant plan and/or design changes that were required to be managed including:</p> <ul style="list-style-type: none"> • a description of the plan or design change • the issues for H&S that had to be managed as a result of the required change • who was involved and the process for resolving the issues associated with the change • how successfully the change was managed 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how it employs specific expertise to manage change on its projects.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PC07	Safety in design	The organisation has processes that allow for the early identification of hazards/risks and allows for them to be eliminated by design	Does the organisation have processes to apply safety in design processes?	<p>Describe or provide copies of your policies and procedures for applying safety in design.</p> <p>Provide two examples of your safety in design processes being applied to two projects. Highlight if you led the approach or if you worked under a client (or client representative) led approach. Examples need to reflect good safety in design practice.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide examples of how safety was improved through a design change.</p>

QUESTIONNAIRE GUIDANCE AND MINIMUM REQUIREMENTS FOR DESIGNERS (CONSTRUCTION SECTOR ONLY)

DEFINITION

Designer means any person or organisation (PCBU) who prepares or modifies a design, or arranges for, or instructs a person in their control to do so.

All questions answered YES should be supported by minimum required evidence. Suppliers should have option for having certain questions found "Not Applicable" to them if they provide sufficient reason for this to be accepted. These questions are identified as "NA Possible".

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PD01	Safety in design programme	The organisation has documented processes that allows them to lead a safety in design programme for the preconstruction and/or installation project phases that focus on the early identification of hazards/risks and allows for them to be eliminated or otherwise controlled by design	Does the organisation have a documented safety in design programme that allows you to take the lead in bringing together key stakeholders (client, consultants, engineers, constructors etc) at preconstruction and/or installation project phases to identify and then eliminate or otherwise manage hazards/risks across the life of the project?	<p>Documented procedure/process shows how the safety in design (SiD) programme works including:</p> <ul style="list-style-type: none"> • follows good SiD practice as set out in relevant guidance • covers asset lifecycle hazards/risks • Roles and responsibilities • how the SiD stakeholder team is formed (those participating in the SiD programme) • Mechanisms for oversight, communication, consultation, and coordination processes with stakeholders over course of SiD programme. <p>Provide evidence of the SiD programme being applied for two projects. Evidence may take the form of SiD reports, Work H&S files, SiD registers, etc.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the programme shall show how the client PCBU is accountable for decision relating to design changes that result in H&S improvement.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PD02	Record keeping	The organisation has documented processes for the management of records associated with each safety in design programme.	Does the organisation have formal processes for the management of safety in design programme information and records?	<p>Documented procedure/process (may be supplied in PD01) shows how the records associated with each safety in design (SiD) programme are managed including:</p> <ul style="list-style-type: none"> • preparation, recording, and co-ordinating of the circulation of required SiD information • minute taking and management • document version control • producing a safety in design report • Producing a work health and safety file 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide evidence that SiD lessons learned are available as legacy learning for future projects.</p>
PD03	Safety in design capability	The organisation has documented processes that ensure it has the necessary skills, knowledge, experience and capability to lead safety in design programmes.	How do you ensure you have the required capability in your team to lead safety in design programmes?	<p>Documented procedure/process (may be supplied in PD01) shows how the necessary skills, knowledge and experience to lead safety in design programmes are identified and provided including:</p> <ul style="list-style-type: none"> • definition of required competencies of those leading and/or assisting in SiD programmes • identification of those leading or assisting in SiD programmes and evidence of their SiD training/qualifications • how SiD related CPD is provided to those leading or assisting with SiD programmes 	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall develop its own SiD community of practice, which shall include the application of BIM systems.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PD04	Continuous improvement in safety in design	The organisation has documented processes that ensure each safety in design programme is reviewed and learnings are used to improve the safety and design processes and future programmes.	Do you have process in place to continuously improve the safety in design programme?	<p>Documented procedure/process (may be supplied in PD01) sets out a process for continual improvement which includes:</p> <ul style="list-style-type: none"> • post project review of SiD effectiveness • mechanism to update the SiD procedure and programme and carry learnings forward to future projects. <p>Describe and provide evidence of how the SiD programme was reviewed and improved for two projects. This should include a description of how learnings were carried through to new projects.</p>	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide evidence that design changes that improve safety are achieved for all designs carried out.</p>

# Core Criteria	Criteria	Details	Questionnaire Template Guidance	Minimum Evidence Requirements	Scoring (with suggested anchors)
PD05	Making the client aware	<p>The organisation has processes to ensure the client is aware of their H&S responsibilities through the safety in design process.</p> <p>(Note: where the work is domestic, the PC assumes these responsibilities on their behalf)</p> <ul style="list-style-type: none"> -make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include: <ul style="list-style-type: none"> -appointing the contractors and designers to the project (including the principal designer and principal contractor on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability -allowing sufficient time and resources for each stage of the project -making sure that any principal designer and principal contractor appointed carry out their responsibilities in managing the project -making sure suitable welfare facilities are provided for the duration of the construction work -maintain and review the management arrangements for the duration of the project -provide pre-construction information to every designer and contractor either bidding for the work or already appointed to the project -ensure that the principal contractor or contractor (for single contractor projects) prepares a construction phase plan before that phase begins -ensure that the principal designer prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site 	How do you ensure the client is aware of their H&S responsibilities relating to safety in design and that they meet them?	Provide a description with supporting documentation of an example from a recent project (within last two years) that demonstrates how it was ensured the client was aware of their H&S responsibilities relating to SID and how you ensured they met them (or how you dealt with them if they didn't met them).	<p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how it partners with clients to collaboratively meet their H&S obligations.</p>