



CHECKLIST FOR TOTIKA – MEMBER PRE-QUALIFICATION ASSESSMENT SCHEME STANDARD

REQUIREMENTS WITH GUIDANCE VERSION 1.0

ISSUE DATE: 01/07/2020

RESPONSES: To avoid unnecessary costs, please ensure that your system explains how your organisation implements the requirements of this standard.

LEGEND C: COMPLIES O: OBSERVATION T: TO ADDRESS AT AUDIT N: NON-CONFORMITY N/A: NOT APPLICABLE

Section	General requirements	Comments Manual and/or Procedures reference	Findin g
OH&S PRE-QUALIFICATION ASSESSMENT SYSTEM AND ITS PROCESSES		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement, maintain and continually improve an OH&S prequalification assessment management system, including the processes needed and their interactions, in accordance with the requirements of this document.		
PRE-QUALIFICATION ASSESSMENT SCHEME MANAGEMENT SYSTEM POLICY		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement and maintain a policy that:		
	<ul style="list-style-type: none"> includes a commitment to provide a fair, ethical and equitable pre-qualification assessment service. 		
	<ul style="list-style-type: none"> includes a commitment to treating all parties fairly, equitably and with respect. 		
	<ul style="list-style-type: none"> includes a commitment to fulfil legal requirements and other requirements; 		
	<ul style="list-style-type: none"> includes a commitment to continual improvement of the OH&S pre-qualification assessment management system. 		
	The policy shall:		
	<ul style="list-style-type: none"> be available as documented information; 		
	<ul style="list-style-type: none"> be communicated to all parties involved with the system; 		
	<ul style="list-style-type: none"> be available to interested parties, as appropriate; 		
	<ul style="list-style-type: none"> be relevant and appropriate. 		
ROLES, RESPONSIBILITIES, AND AUTHORITIES			

General Requirements		BRONZE – SILVER – GOLD	
	The member scheme shall ensure that the responsibilities and authorities for relevant roles within the member scheme are assigned and maintained as documented information.		
	Top management shall assign the responsibility and authority for:		
	<ul style="list-style-type: none"> ensuring that the OH&S pre-qualification assessment management system conforms to the requirements of this document; 		
	<ul style="list-style-type: none"> reporting on the performance of the OH&S pre-qualification assessment management system to top management; 		
	<ul style="list-style-type: none"> moderation of the pre-qualification assessors; 		
	<ul style="list-style-type: none"> individual assessment of OH&S pre-qualification submissions. 		
THE ROLE OF THE PRE-QUALIFICATION SCHEME		BRONZE – SILVER – GOLD	
	The scheme develops, administers and manages prequalification assessments. The scheme shall implement means to liaise directly with individual customers and shall periodically obtain feedback from customers.		
PLANNING			
ACTIONS TO ADDRESS RISK AND OPPORTUNITIES		SILVER – GOLD	
GENERAL		SILVER – GOLD	
	When planning for the OH&S pre-qualification assessment management system, the member scheme shall consider:		
	<ul style="list-style-type: none"> the issues regarding context of the scheme, 		
	<ul style="list-style-type: none"> the requirements of interested parties 		
	<ul style="list-style-type: none"> and the scope of the OH&S pre-qualification assessment management system 		
	and determine the risks and opportunities that need to be addressed to:		
	<ul style="list-style-type: none"> give assurance that the OH&S pre-qualification assessment management system can achieve its intended outcome(s); 		
	<ul style="list-style-type: none"> prevent, or reduce, undesired effects; 		
	<ul style="list-style-type: none"> achieve continual improvement. 		
	When determining the risks and opportunities for the OH&S pre-qualification assessment management system and its intended outcomes that need to be addressed, the member scheme shall take into account:		
	<ul style="list-style-type: none"> the Tōtika scheme rules; 		

	<ul style="list-style-type: none"> the Tōtika core requirements. 		
	The member scheme shall maintain documented information on:		
	<ul style="list-style-type: none"> risks and opportunities; 		
	<ul style="list-style-type: none"> the process(es) and actions needed to determine and address its risks and opportunities to the extent necessary to have confidence that they are carried out as planned 		
PLANNING ACTION		SILVER – GOLD	
	The member scheme shall plan:		
	actions to:		
	<ul style="list-style-type: none"> address these risks and opportunities; 		
	<ul style="list-style-type: none"> address legal requirements, Tōtika requirements and other requirements; 		
	how to:		
	<ul style="list-style-type: none"> integrate and implement the actions into the OH&S pre-qualification assessment management system processes or other business processes; 		
	<ul style="list-style-type: none"> evaluate the effectiveness of these actions. 		
	The member scheme shall take into account outputs from the OH&S pre-qualification assessment management system when planning to take action.		
	When planning its actions, the member scheme shall consider best practices, technological options and financial, operational and business requirements.		
STRATEGIC PLAN		BRONZE – SILVER – GOLD	
	The member scheme shall develop a strategic plan. This plan shall outline:		
	<ul style="list-style-type: none"> the direction the scheme will take over a 12-month period 		
	<ul style="list-style-type: none"> how the scheme will focus on continuous improvement of existing processes 		
	The plan shall consider:		
	<ul style="list-style-type: none"> Improvement of services to customers 		
	<ul style="list-style-type: none"> Operational improvement 		
	<ul style="list-style-type: none"> Enhancement of any technology platforms or portals which the scheme relies on. 		
	The plan shall be approved by the member schemes top management and performance to the plan shall be monitored through periodic reporting.		

	The strategic plan shall be reviewed annually, and external parties may be used to provide input into the review process.		
BUSINESS CONTINITY PLAN		SILVER – GOLD	
	The member scheme shall document a business continuity plan. The purpose of the plan is to ensure the pre-qualification assessment scheme can continue to deliver a good service to its customers should the member scheme be disrupted by an event.		
	The plan shall consider (but not be limited to considering) the following types of events:		
	<ul style="list-style-type: none"> • Natural Disasters 		
	<ul style="list-style-type: none"> • Disruption to utilities (power, water, sewerage, etc.) 		
	<ul style="list-style-type: none"> • Loss of IT systems 		
	<ul style="list-style-type: none"> • Failure of a third-party supplier to provide services 		
	<ul style="list-style-type: none"> • Loss of team members 		
	<ul style="list-style-type: none"> • Loss of buildings/facilities 		
	<ul style="list-style-type: none"> • Health emergencies 		
	The plan shall consider the following aspects and contingencies:		
	<ul style="list-style-type: none"> • Communication with customers 		
	<ul style="list-style-type: none"> • Core pre-qualification assessment scheme functions and how they will be managed 		
	<ul style="list-style-type: none"> • Essential roles and skill sets needed to support core functions 		
	<ul style="list-style-type: none"> • Essential equipment and supplies 		
	<ul style="list-style-type: none"> • Relocation options 		
	<ul style="list-style-type: none"> • Delegations of authority 		
SUPPORT			
RESOURCES		BRONZE – SILVER – GOLD	
	The member scheme shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the OH&S pre-qualification assessment management system.		
COMPETENCE		BRONZE – SILVER – GOLD	
	The member scheme shall:		

	<ul style="list-style-type: none"> determine the necessary competence of workers that affects or can affect prequalification assessment processes; 		
	<ul style="list-style-type: none"> ensure that workers are competent on the basis of appropriate education, training or experience; 		
	<ul style="list-style-type: none"> where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken; 		
	<ul style="list-style-type: none"> retain appropriate documented information as evidence of competence. 		
TOTIKA COMPETENCY REQUIERMENTS		BRONZE – SILVER – GOLD	
	The member scheme shall ensure that the Assessment Professionals (assessors and moderators) employed by them, to carry out pre-qualification assessment within a Tōtika Pre-qualification Assessment Scheme, have achieved the appropriate competency requirements.		
	To undertake assessments of suppliers to the required Tōtika standard, Tōtika has determined that Assessment Professionals shall have the appropriate competencies in the following four areas:		
	<ul style="list-style-type: none"> Occupational (technical OH&S knowledge) 		
	<ul style="list-style-type: none"> Assessment (vocational capability regarding assessments) 		
	<ul style="list-style-type: none"> Behavioural (appropriate aptitude and attitude for the work) 		
	<ul style="list-style-type: none"> Underpinning relevant/related skills, knowledge and experience 		
TOTIKA ASSESSMENT PROFESSIONALS COMPETENCY FRAMEWORK		BRONZE – SILVER – GOLD	
	The Tōtika Scheme requires that Assessment Professionals (assessors and moderators), who deliver supplier pre-qualification assessments have the vocational competencies, experience and qualifications outlined in Table 1 below.		
	Tōtika Assessment Provider member schemes shall ensure that the Assessment Professionals (assessors and moderators) employed by them, to carry out pre-qualification assessment within the Tōtika Pre-qualification Assessment Provider Pathway, have achieved the appropriate competency requirements.		
ASSESSMENT OF ASSESSORS – SCHEME REQUIERMENTS		BRONZE – SILVER – GOLD	
GOOD PROCESS – ASSESSOR CAPABILITY TO DELIEVER ASSESSMENTS		BRONZE – SILVER – GOLD	
	All Assessors working within a member scheme, who are appointed to undertake a supplier assessments, which		

	when initially assessed, is shown to be beyond their current competency and skill, knowledge and experience level (depending on the supplier scale/work sector and associated risk level) must escalate to a more experienced colleague/manager for action (via the Internal Moderator who is overseeing their assessment team).		
	Tōtika member schemes must have at least one Internal Moderator within their organisation, to oversee such matters and ensure robust/appropriate/fair assessment practices are in place.		
	Internal Moderator activities shall also drive Assessor capability development, training and currency of qualification/CPD. They shall be both occupationally and vocationally competent and highly experienced / qualified Assessors before becoming Internal Systems Moderator's (refer Tables 1 and 2).		
PROFESSIONAL MEMBERSHIP AND DEVELOPMENT PATHWAY		BRONZE – SILVER – GOLD	
	It is required that Assessment Professionals undertaking the role of Assessors and Moderators must currently be technician members of NZISM (or equivalent) or, as part of their initial training process, be prepared to commit to such membership (and, in all cases, to maintaining / keeping current the required competencies/experience for their chosen membership).		
	This shall be demonstrated at the following levels:		
	Assessor Bronze - <i>Health and safety training deemed appropriate by the member scheme</i> Silver / Gold – <i>A technician level member of NZISM or equivalent</i>		
	Internal Moderator Bronze - <i>A technician level member of NZISM or equivalent</i> Silver / Gold - <i>Current registration on the HASANZ register (Practitioner / Professional)</i>		
ASSESSORS AND INTERNAL MODERATORS		BRONZE – SILVER – GOLD	
	Assessors and Moderators must undertake certified training in accordance with Tables 1 and 2. to meet the following (as appropriate to the member scheme level they operate in):		
	<ul style="list-style-type: none"> • Appropriate Assessor/Auditor Training as stated 		

	<ul style="list-style-type: none"> Unit Standard (US) 5619 Level 4 Auditing H&S Systems: having undertaken a recognised course on Auditing Health and Safety Systems to meet the Unit Standard, where Table 1 & 2 state it's appropriate. 		
	<ul style="list-style-type: none"> Assessment (practical delivery) Behavioural Competencies 		
	<ul style="list-style-type: none"> Assessors / Evaluators and Moderators (outside of the qualifications held and the training undertaken) must be able to practically demonstrate vocational competency and behavioural good practice in the following: 		
	<ul style="list-style-type: none"> o Business Context 		
	<ul style="list-style-type: none"> o Demonstrating understanding of organisational context and practical scale requirements within the organisation being assessed/evaluated. 		
	<ul style="list-style-type: none"> o Relationship Management 		
	<ul style="list-style-type: none"> o Ensuring a positive, appropriate and professional approach at all touch points with the organisation being assessed/evaluated, and all related stakeholders 		
	<ul style="list-style-type: none"> o Written and oral Communication – in a manner which all suppliers/buyers/ stakeholders can reasonably understand 		
	<ul style="list-style-type: none"> o Flexibility in Assessment and Evaluation Approaches 		
	<ul style="list-style-type: none"> o Depending on the organisational context and requirements, adapting their review, assessment, recording and evaluation processes (e.g. interviews, research and system/process checking), reporting and feedback accordingly (e.g. structural and operational scale/systems requirements for Corporate entities, shall be different to Small and Medium entities or Community businesses) 		
	<ul style="list-style-type: none"> o Fair and Ethical Decision-making and Judgement 		
	<ul style="list-style-type: none"> o To ensure fair, transparent, ethical and equitable assessment/evaluation approaches and decisions are made 		
	<ul style="list-style-type: none"> o Lead-by-example 		
	<ul style="list-style-type: none"> o Whether in Assessor and/or Moderator roles, working collaboratively and effectively with colleagues, planning, assessing, and applying appropriate team resources and approaches to the different stakeholders, systems and evaluation/assessment opportunities, maintaining boundaries and mitigating any 		

	potential conflicts of interest and risks.		
	When Assessors first join the member scheme they shall be regarded as 'Probationary Assessors' and shall follow the Assessor Competency and Training requirements under the guidance of the member scheme.		
	The member scheme shall specify the probationary period for assessors, which may include different requirements for different categories of supplier assessment.		
	Member schemes shall have documented internal training and competency processes and procedures to account for the different categories of suppliers being assessed.		
	The internal moderator shall be responsible and accountable for approving assessor competencies and deciding when assessors move out of their probationary periods. This shall be documented and recorded.		
AWARENESS		BRONZE – SILVER – GOLD	
	Assessors and moderators shall be made aware of:		
	<ul style="list-style-type: none"> the OH&S pre-qualification system policy and objectives; 		
	<ul style="list-style-type: none"> their contribution to the effectiveness of the OH&S pre-qualification assessment management system; 		
	<ul style="list-style-type: none"> the implications and potential consequences of not conforming to the OH&S prequalification assessment management system requirements. 		
SCALABILITY FOR SMALL BUSINESS ASSESSMENTS		BRONZE – SILVER – GOLD	
	Assessors shall demonstrate the ability to understand that small businesses (specifically those allocated as Cat 2 or Cat 3) will not require the same complex documented systems that larger organisation require. There may be alternative ways in which small businesses can demonstrate how they meet the core requirements without necessarily having comprehensive documented systems and processes.		
	Assessors shall demonstrate empathy and understanding regarding small businesses and the context in which they operate.		
COMMUNICATION		BRONZE – SILVER – GOLD	
GENERAL		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement and maintain the process(es) needed for the internal and external communications relevant to the OH&S prequalification assessment management system, including determining		

	<ul style="list-style-type: none"> on what it will communicate; 		
	<ul style="list-style-type: none"> when to communicate; 		
	<ul style="list-style-type: none"> with whom to communicate: <ul style="list-style-type: none"> internally among the various levels and functions of the system; among other interested parties; 		
	<ul style="list-style-type: none"> how to communicate. 		
	The member scheme shall take into account diversity aspects (e.g. gender, language, culture, literacy, disability) when considering its communication needs.		
	The member scheme shall ensure that the views of external interested parties are considered in establishing its communication process(es).		
	When establishing its communication process(es), the member scheme shall:		
	<ul style="list-style-type: none"> take into account its legal requirements and other requirements 		
	<ul style="list-style-type: none"> ensure that information to be communicated is consistent with information generated within the OH&S pre-qualification assessment management system and is reliable. 		
	The member scheme shall respond to relevant communications on its OH&S prequalification assessment management system.		
	The member scheme shall retain documented information as evidence of its communications, as appropriate		
INTERNAL COMMUNICATION		BRONZE – SILVER – GOLD	
	The member scheme shall:		
	<ul style="list-style-type: none"> internally communicate information relevant to the OH&S pre-qualification assessment management system among the moderator(s) and assessor(s), including changes to the OH&S pre-qualification assessment management system, as appropriate; 		
	<ul style="list-style-type: none"> ensure its communication process(es) enables moderators and assessors to contribute to continual improvement. 		
EXTERNAL COMMUNICATION		BRONZE – SILVER – GOLD	
	The member scheme shall externally communicate information relevant to the OH&S pre-qualification assessment management system, as established by the member scheme's communication process(es) and taking into account the Tōtika scheme rules.		

DOCUMENTED INFORMATION			
GENERAL	BRONZE – SILVER – GOLD		
The member scheme's OH&S pre-qualification assessment management system shall include:			
<ul style="list-style-type: none"> documented information required by this standard; 			
<ul style="list-style-type: none"> documented information determined by the member scheme as being necessary for the effectiveness of the OH&S pre-qualification assessment management system. 			
CREATING AND UPDATING	BRONZE – SILVER – GOLD		
When creating and updating documented information, the member scheme shall ensure appropriate:			
<ul style="list-style-type: none"> identification and description (e.g. a title, date, author or reference number); 			
<ul style="list-style-type: none"> format (e.g. language, software version, graphics) and media (e.g. paper, electronic); 			
<ul style="list-style-type: none"> review and approval for suitability and adequacy. 			
CONTROL OF DOCUMENTED INFORMATION	BRONZE – SILVER – GOLD		
Documented information required by the OH&S pre-qualification assessment management system and by this document shall be controlled to ensure:			
<ul style="list-style-type: none"> it is available and suitable for use, where and when it is needed; 			
<ul style="list-style-type: none"> it is adequately protected (e.g. from loss of confidentiality, improper use or loss of integrity). 			
For the control of documented information, the member scheme shall address the following activities, as applicable:			
<ul style="list-style-type: none"> distribution, access, retrieval and use; 			
<ul style="list-style-type: none"> storage and preservation, including preservation of legibility; 			
<ul style="list-style-type: none"> control of changes (e.g. version control); 			
<ul style="list-style-type: none"> retention and disposition. 			
Documented information of external origin determined by the member scheme to be necessary for the planning and operation of the OH&S pre-qualification assessment management system shall be identified, as appropriate, and controlled			
OPERATION OF THE PRE-QUALIFICATION ASSESSMENT SCHEME			
OPERATIONAL PLANNING AND CONTROL			

GENERAL		BRONZE – SILVER – GOLD	
The member scheme shall plan, implement, control and maintain the processes needed to meet the Tōtika operational requirements and to implement the actions determined in planning activities by:			
	<ul style="list-style-type: none"> • following the Tōtika core criteria (including any identified anchor points) for the assessment processes 		
	<ul style="list-style-type: none"> • implementing control of the assessment processes in accordance with the scheme rules; 		
	<ul style="list-style-type: none"> • maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned; 		
	<ul style="list-style-type: none"> • issuing standardised assessment reports to suppliers who have been assessed. 		
MANAGEMENT OF CHANGE		BRONZE – SILVER – GOLD	
The member scheme shall establish a process(es) for the implementation and control of planned temporary and permanent changes that impact the member scheme, including:			
	<ul style="list-style-type: none"> • new products, services and processes, or changes to existing products, services and processes, including: <ul style="list-style-type: none"> ○ workplace locations and surroundings; ○ work organisation; ○ working conditions; ○ equipment; ○ work force; 		
	<ul style="list-style-type: none"> • changes to Tōtika requirements; 		
	<ul style="list-style-type: none"> • developments in knowledge and technology. 		
The member scheme shall review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.			
PROCUREMENT			
GENERAL		BRONZE – SILVER – GOLD	
The member scheme shall establish, implement and maintain a process(es) to control the procurement of products and service relevant to the pre-qualification scheme.			
OUTSOURCING		BRONZE – SILVER – GOLD	

<p>The member scheme shall ensure that outsourced functions and processes in relation to the member scheme are controlled. The member scheme shall ensure that its outsourcing arrangements are consistent with the requirements of this document and Tötika scheme rules.</p>		
<p>PREQUALIFICATION ASSESSMENT OPERATIONS</p> <p>INITIAL SUPPLIER INFORMATION BRONZE – SILVER – GOLD</p>		
<p>Member schemes shall provide suppliers with comprehensive and clear information about the prequalification process they are required to undertake.</p>		
<p>CONTRACTOR ENGAGEMENT BRONZE – SILVER – GOLD</p>		
<p>Member schemes shall provide suppliers with help, support and guidance with the assessment process.</p>		
<p>Member schemes shall ensure resources are provided to enable suppliers to receive support by email and telephone.</p>		
<p>FOLLOW UP WITH CONTRACTORS BRONZE – SILVER – GOLD</p>		
<p>The scheme shall have appropriate processes and procedures to track and monitor registration and progress of each supplier they are assessing. This should include communicating with the supplier in order to remind them of deadlines or milestones relative to their assessment.</p>		
<p>SUPPLIER RESUBMISSIONS BRONZE – SILVER – GOLD</p>		
<p>The member scheme shall provide reasonable opportunities for suppliers to resubmit assessment evidence to the member scheme before a final assessment outcome is decided.</p>		
<p>From the point the member scheme has clearly communicated the need to resubmit assessment evidence, the scheme must provide at least 7 working days for the supplier to respond.</p>		
<p>Member scheme assessors shall clearly explain the reasons why a resubmission of assessment evidence is required.</p>		
<p>If the contractor resubmits information, the member scheme shall reassess the new evidence.</p>		
<p>FINAL ASSESSMENT BRONZE – SILVER – GOLD</p>		
<p>The member scheme shall ensure that the following is applied to finalising supplier assessments</p>		
<ul style="list-style-type: none"> • Immediate notification to the supplier that the 		

	assessment is complete;		
	<ul style="list-style-type: none"> • Make the finding of the assessment available to the supplier in a clear format. 		
ASSESSMENT MODERATION		BRONZE – SILVER – GOLD	
	The member scheme shall:		
	<ul style="list-style-type: none"> • Ensure all moderation is carried out by the member scheme appointed moderator (ensuring that moderator meets the competency requirements required by this standard). 		
	<ul style="list-style-type: none"> • Select at least 5% of total finalised assessments for moderation; 		
	<ul style="list-style-type: none"> • Randomly select assessments for moderation; 		
	<ul style="list-style-type: none"> • Document the findings of moderation activity including any identified variation in assessment outcome; and 		
	<ul style="list-style-type: none"> • Provide an appropriate learning and improvement process to ensure suitable feedback is provided to the Assessor. 		
PREQUALIFICATION ASSESSMENT REPORTS		BRONZE – SILVER – GOLD	
	Member scheme assessment reports shall include the following information as a minimum:		
	<ul style="list-style-type: none"> • The overall result (meets/does not meet the Tōtika core requirements); 		
	<ul style="list-style-type: none"> • Any proprietary assessment score applied by the member scheme; 		
	<ul style="list-style-type: none"> • Assessor comments and feedback for each assessment question asked; 		
	<ul style="list-style-type: none"> • This assessment report shall be made available to the supplier in a format that is easy for them to share with any client of their choice. 		
TOTIKA ASSESSMENT STATUS		BRONZE – SILVER – GOLD	
	Member schemes shall communicate the requirement to suppliers for them to register on to the Tōtika Portal prior to assessment.		
	All suppliers assessed as meeting the Tōtika core requirements for their supplier category must have the findings of the assessment recorded in the Tōtika portal.		
	Supplier information required to be updated/added to the Tōtika portal shall be:		
	<ul style="list-style-type: none"> • NZBN 		
	<ul style="list-style-type: none"> • Formal trading name of the supplier; 		
	<ul style="list-style-type: none"> • Any other trading names associated with that business; 		
	<ul style="list-style-type: none"> • Description of construction services delivered 		

	by the business that this assessment covers (these must be categorised using the ANZSIC Classification List Levels 1-4):		
	<ul style="list-style-type: none"> ● Supplier location(s) as listed: <ul style="list-style-type: none"> ○ National ○ Northland (Te Tai Tokerau) ○ Auckland – (Tāmaki-makau-rau) ○ Waikato ○ Bay of Plenty (Te Moana-a-Toi) ○ Gisborne (Te Tai Rāwhiti) ○ Hawke's Bay (Te Matau-a-Māui) ○ Taranaki ○ Manawatu-Wanganui (Manawatū-Whanganui) ○ Wellington (Te Whanga-nui-a-Tara) ○ Tasman (Te Tai-o-Aorere) ○ Nelson (Whakatū) ○ Marlborough (Te Taihu-o-te-waka) ○ West Coast (Te Tai Poutini) ○ Canterbury (Waitaha) ○ Otago (Ōtākou) ○ Southland (Murihiku) 		
	● Supplier contact name;		
	● Supplier contact email address;		
	● Supplier contact telephone number;		
	● Supplier website link (if available).		
	Member OH&S prequalification assessment schemes shall either:		
	<ul style="list-style-type: none"> ● Update the information manually using their own allocated Tōtika portal log-in; or ● Arrange with Tōtika to set up an automated information transfer service with the portal. 		
INSURANCE MONITORING		BRONZE – SILVER – GOLD	
	Tōtika does not require member schemes to provide insurance monitoring services, although it is appreciated member schemes may provide this service to their customers.		
COMPLIANTS AND ISSUE RESOLUTION		BRONZE – SILVER – GOLD	
	All members schemes shall document and operate an appropriate system for handling supplier complaints. This shall include:		
	<ul style="list-style-type: none"> ● A clear mechanism for suppliers to make a complaint; ● A mechanism for documenting supplier complaints and recording issue resolutions; ● Information to suppliers on how they may escalate complaints to Tōtika, if the member 		

	scheme is unable to resolve the complaint to the supplier's satisfaction.		
PERFORMANCE EVALUATION			
MONITORING, MEASUREMENT, ANALYSIS AND PERFORMANCE EVALUATION		BRONZE – SILVER – GOLD	
GENERAL		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement and maintain a process for monitoring, measurement, analysis and performance evaluation of the OH&S pre-qualification system.		
	The member scheme shall determine:		
	<ul style="list-style-type: none"> • what needs to be monitored and measured, including: <ul style="list-style-type: none"> ○ the extent to which Tötika requirements are fulfilled; ○ its activities and operations related to pre-qualification assessment; ○ progress towards achievement of the member scheme objectives; ○ effectiveness of operational controls; 		
	<ul style="list-style-type: none"> • the methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results; 		
	<ul style="list-style-type: none"> • the criteria against which the member scheme will evaluate its pre-qualification system performance; 		
	<ul style="list-style-type: none"> • when the monitoring and measuring shall be performed; 		
	<ul style="list-style-type: none"> • when the results from monitoring and measurement shall be analysed, evaluated and communicated. 		
	The member scheme shall evaluate its own performance and determine the effectiveness of the OH&S pre-qualification assessment management system.		
	The member scheme shall retain appropriate documented information regarding its measurement and monitoring of the system.		
EVALUATION OF COMPLIANCE		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement and maintain a process(es) for evaluating compliance with this document and scheme rules.		
	The member scheme shall:		
	<ul style="list-style-type: none"> • determine the frequency and method(s) for the evaluation of compliance; • evaluate compliance and take action if needed; 		

	<ul style="list-style-type: none"> maintain knowledge and understanding of its compliance status with this standard and other Tōtika requirements; 		
	<ul style="list-style-type: none"> retain documented information of the compliance evaluation results. 		
AUDIT AND REVIEW			
INTERNAL AUDIT		SILVER – GOLD	
	The member scheme shall conduct internal audits at planned intervals (at least annually) to provide information on whether the OH&S pre-qualification assessment management system conforms to this document and other Tōtika requirements as a member scheme.		
MANAGEMENT REVIEW		BRONZE – SILVER – GOLD	
	The member scheme shall conduct a review of the OH&S pre-qualification assessment management system annually.		
	The review should be carried out by the member scheme organisation’s top management and can be part of a broader organisation management review.		
IMPROVEMENT			
GENERAL		BRONZE – SILVER – GOLD	
	The member scheme shall determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its OH&S pre-qualification assessment management system.		
NONCONFORMITY AND CORRECTIVE ACTION		BRONZE – SILVER – GOLD	
	The member scheme shall establish, implement and maintain a process to determine and manage and nonconformities of the prequalification system.		
	When a nonconformity occurs, the member scheme shall:		
	<ul style="list-style-type: none"> take action to correct it; 		
	<ul style="list-style-type: none"> review the nonconformity; 		
	<ul style="list-style-type: none"> determining the cause(s) of the nonconformity; 		
	<ul style="list-style-type: none"> determining if similar nonconformities exist, or if they could potentially occur; 		
	<ul style="list-style-type: none"> determine and implement any action needed; 		
	<ul style="list-style-type: none"> review the effectiveness of any corrective action; 		
	<ul style="list-style-type: none"> make changes to the OH&S pre-qualification 		

	assessment management system, if necessary.		
	Corrective actions shall be appropriate to the effects or potential effects of the nonconformities encountered.		
	The member scheme shall retain documented information as evidence of:		
	<ul style="list-style-type: none"> the nature of nonconformities and any subsequent actions taken; 		
	<ul style="list-style-type: none"> the results of any action and corrective action, including their effectiveness. 		
CONTINUAL IMPROVEMENT		BRONZE – SILVER – GOLD	
	The member scheme shall continually improve the suitability, adequacy and effectiveness of the OH&S pre-qualification assessment management system, by:		
	<ul style="list-style-type: none"> enhancing system performance and efficiency; 		
	<ul style="list-style-type: none"> maintaining and retaining documented information as evidence of continual improvement. 		