

MEMBER PRE-QUALIFICATION SCHEME STANDARD

TŌTIKA

REQUIREMENTS WITH GUIDANCE

1 JULY 2020 - VERSION 1.0

CHHSNZ

CONSTRUCTION HEALTH AND SAFETY NZ
Kia hauora, kia haumaru ngā mahi waihanga

TABLE OF CONTENTS

AMENDMENTS2

FOREWORD.....5

INTRODUCTION5

 BACKGROUND5

 TŌTIKA STRUCTURE5

 AIM OF AN OH&S PRE-QUALIFICATION ASSESSMENT SYSTEM6

 CONTENTS OF THIS DOCUMENT7

 GOLD, SILVER AND BRONZE PRE-QUALIFICATION SCHEMES7

SCOPE AND PURPOSE.....9

 SCOPE9

 PURPOSE9

 OH&S PRE-QUALIFICATION ASSESSMENT SYSTEM AND ITS PROCESSES9

PRE-QUALIFICATION ASSESSMENT SCHEME MANAGEMENT SYSTEM POLICY10

ROLES, RESPONSIBILITIES, AND AUTHORITIES.....11

 GENERAL REQUIREMENTS11

 STEERING GROUP11

 THE ROLE OF THE PRE-QUALIFICATION SCHEME11

PLANNING12

 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES.....12

General12

Planning action12

 STRATEGIC PLAN.....13

 BUSINESS CONTINUITY PLAN.....13

SUPPORT.....15

 RESOURCES15

 COMPETENCE.....15

Tōtika competency requirements15

Tōtika Assessment Professionals Competency Framework.....15

Assessment of Assessors – Scheme Requirements19

Assessors and Internal Moderators.....20

 AWARENESS.....21

SCALABILITY for small business assessments.....21

 COMMUNICATION21

General21

Internal communication22

External communication22

 DOCUMENTED INFORMATION23

General23

Creating and updating23

Control of documented information23

OPERATION OF THE PRE-QUALIFICATION ASSESSMENT SCHEME.....	25
OPERATIONAL PLANNING AND CONTROL	25
<i>General</i>	25
<i>Management of change</i>	25
<i>Procurement</i>	25
PREQUALIFICATION ASSESSMENT OPERATIONS	26
<i>INITIAL SUPPLIER INFORMATION</i>	26
<i>CONTRACTOR ENGAGEMENT</i>	26
<i>FOLLOW UP WITH CONTRACTORS</i>	26
SUPPLIER RESUBMISSIONS.....	26
FINAL ASSESSMENT.....	27
ASSESSMENT MODERATION	27
PREQUALIFICATION ASSESSMENT REPORTS.....	27
TOTIKA ASSESSMENT STATUS.....	28
INSURANCE MONITORING	29
COMPLAINTS AND ISSUE RESOLUTION	29
PERFORMANCE EVALUATION	30
MONITORING, MEASUREMENT, ANALYSIS AND PERFORMANCE EVALUATION	30
<i>General</i>	30
<i>Evaluation of compliance</i>	30
AUDIT AND REVIEW	31
INTERNAL AUDIT.....	31
MANAGEMENT REVIEW.....	31
EXTERNAL AUDIT.....	31
<i>Major Nonconformance</i>	32
<i>Minor Nonconformance</i>	32
IMPROVEMENT	33
GENERAL	33
NONCONFORMITY AND CORRECTIVE ACTION	33
CONTINUAL IMPROVEMENT	33

FOREWORD

Construction Health and Safety New Zealand Trust (CHASNZ) is a registered charitable trust that has been formed to be the peak body to represent on matters of health and safety across the whole of the New Zealand construction industry. A key role of CHASNZ is, where it is appropriate, to set standards relating to health and safety for the New Zealand construction industry.

The work of preparing New Zealand construction industry occupational health and safety (OH&S) standards is normally carried out through industry project groups lead by the CHASNZ senior management team. Industry project groups are convened by CHASNZ and have appropriate stakeholder representation relevant to the subject. All projects delivered by CHASNZ involve a consultation process with wider industry prior to implementation.

Any trade name used in this document is information provided for the benefit of industry and does not form an endorsement of any kind.

INTRODUCTION

BACKGROUND

Health and safety pre-qualification is a common element to most organisation's OH&S management systems and in turn procurement processes.

Buyers of construction services are numerous and various across New Zealand. Inconsistency of application of OH&S pre-qualification produces unnecessary costs, confusion, repetition, and duplication of effort throughout the construction supply chain.

The adoption of a health and safety pre-qualification system is intended to enable an organisation to have assurance that suppliers provide safe and healthy workplaces, prevent work-related injury and ill health, and continually improve their OH&S performance.

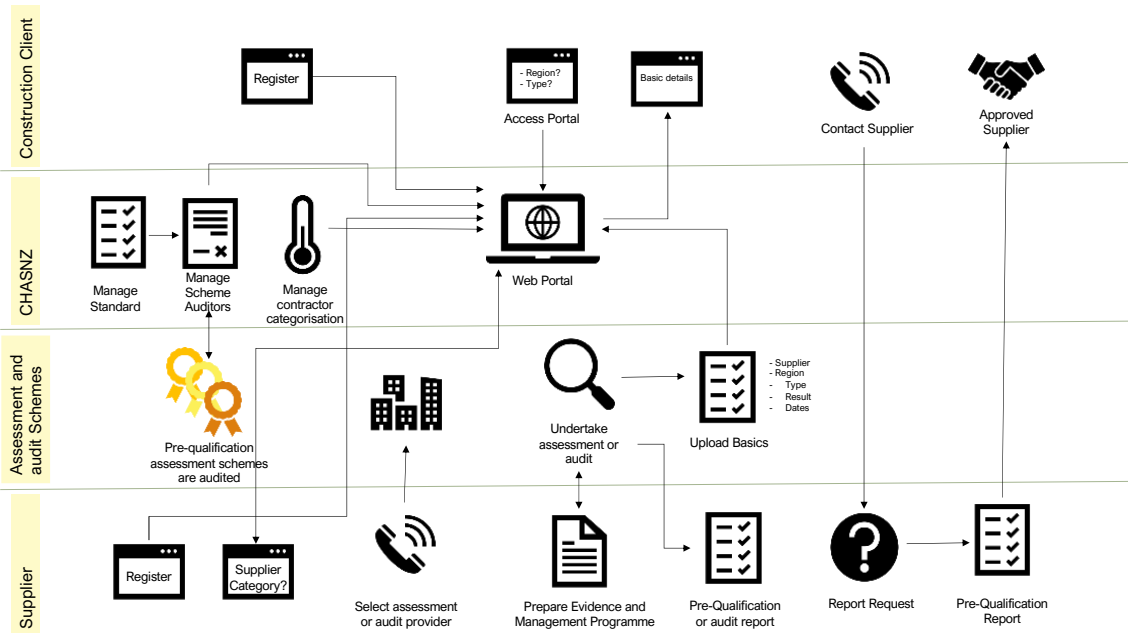
TŌTIKA STRUCTURE

The following is an overview of Tōtika, showing the main participants and how they interact with the scheme.

This document is a standard for Pre-qualification assessment schemes.

Prequalification assessment schemes may be:

- Commercial schemes where suppliers pay a fee to the scheme and in return the supplier's health and safety management programme is assessed to the relevant core requirements appropriate to that supplier. Buyers tend to subscribe to the commercial scheme either through commercial arrangement or membership.
- Internal schemes where a buyer controls the pre-qualification assessment of its suppliers utilising either internal systems and/or resources, or outsourced systems and/or resources.



AIM OF AN OH&S PRE-QUALIFICATION ASSESSMENT SYSTEM

The purpose of an OH&S pre-qualification assessment system is to provide a standardised approach for verifying supplier OH&S management approaches. The aim and intended outcomes of the OH&S pre-qualification assessment system are to provide buyers of construction services with a list of suppliers that have systems which will aid prevention of work-related injury and ill health to workers and provision of safe and healthy workplaces.

Pre-qualification systems are usually adopted by buyers as internally operated systems or externally operated commercial pre-qualification services.

It is a Tötika requirement for any OH&S pre-qualification scheme (either internal or external) in order to be recognised as part of Tötika (as a 'Member Scheme') that it must be audited by the scheme certification body to the requirements of this standard and appropriately graded as laid out by this standard.

It is consequently important that buyers have augmenting processes as part of supplier selection for checking a supplier organisation possesses enough capacity to eliminate hazards and minimize OH&S risks by taking effective preventive and protective measures specific to the services being procured.

It is intended that OH&S pre-qualification is an initial assurance process to allow buyers to identify suppliers to receive opportunities to tender for work. It is expected that more specific OH&S assurance is carried out by the buyer as part of their specific procurement processes.

An OH&S pre-qualification assessment system may assist a buyer organisation to fulfil its legal and other requirements.

CONTENTS OF THIS DOCUMENT

This document contains requirements that can be used by an organisation to implement an OH&S pre-qualification assessment management system and to assess conformity to the Tötika standard in order to become a recognised Tötika member scheme.

An organisation that wishes to demonstrate conformity to this standard can only do so by seeking certification/registration of its OH&S prequalification management system by the scheme certification body.

In this document, the following verbal forms are used:

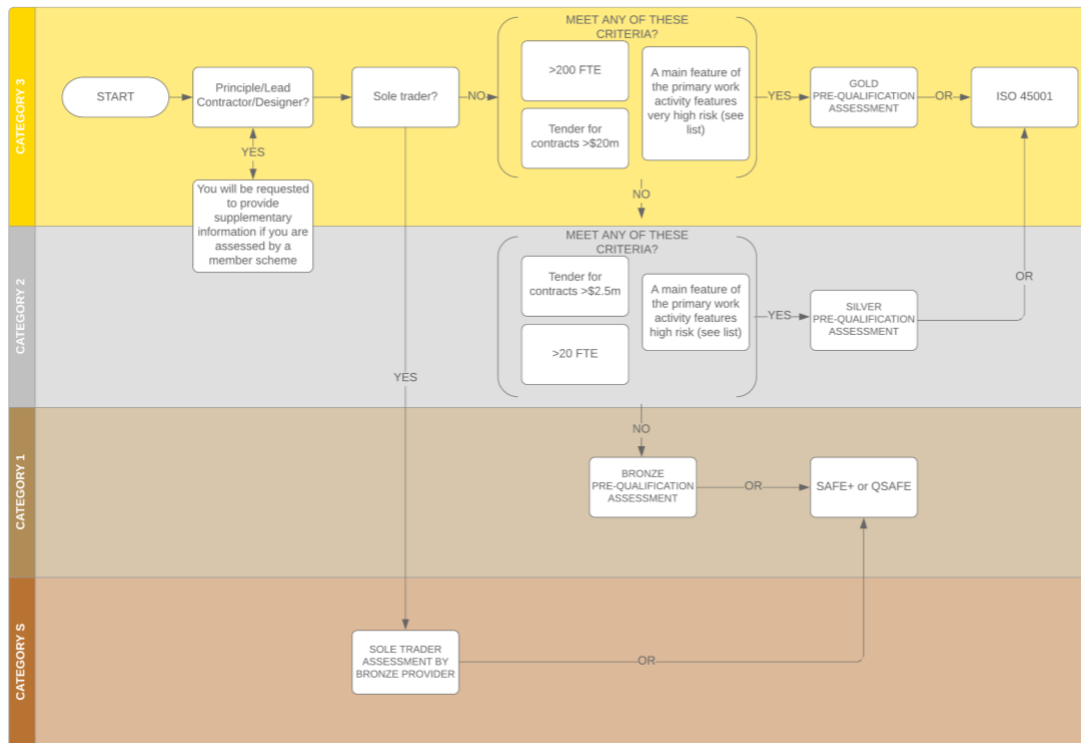
- “shall” indicates a requirement;
- “should” indicates a recommendation;
- “may” indicates a permission;
- “can” indicates a possibility or a capability.

GOLD, SILVER AND BRONZE PRE-QUALIFICATION SCHEMES

Prior to external audit to this standard, the member scheme must decide what level they intend to be certified to within the Tötika Scheme. This intended level must be communicated to the scheme certification body prior to the audit.

The certifying body may certify the pre-qualification assessment scheme at a lower level to that intended by the member scheme. The auditor shall not provide certification at a level higher than that applied for by the pre-qualification scheme.

The Tötika Scheme has developed in the Scheme Rules different categories of supplier:



The Tötika scheme is currently limited to assessment or certification of suppliers of construction related services only.

There are limitations on what type of supplier different levels of Tötika member schemes can assess:

Tötika member Scheme Level	Shall only be permitted to provide pre-qualification assessment services to these categories of supplier
BRONZE	Cat ST and Cat 1 Only
SILVER	Cat ST, Cat 1, and Cat 2.
GOLD	Cat ST, Cat 1, Cat 2, and Cat 3

Differing requirements in this standard for Gold, Silver, and Bronze level member schemes are clearly marked in the relevant sections using this formatting:

BRONZE	SILVER	GOLD
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SCOPE AND PURPOSE

BRONZE	SILVER	GOLD
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SCOPE

This document specifies requirements for an OH&S pre-qualification assessment management system, in order to enable organisations to provide a suitable OH&S pre-qualification assessment scheme.

This document is applicable to any organisation that wishes to operate an OH&S pre-qualification assessment (member) scheme for the New Zealand construction industry as part of the Tōtika scheme.

This document is applicable to any organisation operating a OH&S pre-qualification assessment system whether it be internal or commercially delivered.

This document can be used in whole or in part to systematically improve OH&S pre-qualification activities. However, claims of conformity to this standard are not acceptable unless it is independently audited by the certifying body to confirm that all its requirements are incorporated into an organisation's OH&S pre-qualification assessment management system and fulfilled without exclusion.

PURPOSE

The purpose of this document is to provide a standard for the processes and systems required to be in place to allow Tōtika member schemes to operate in a consistent and effective manner. It sets out policy, specifies desired outcomes, provides guidance on where to obtain additional information, and is the basis against which Tōtika member schemes will be audited and certified.

OH&S PRE-QUALIFICATION ASSESSMENT SYSTEM AND ITS PROCESSES

The member scheme shall establish, implement, maintain and continually improve an OH&S pre-qualification 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
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The member scheme shall establish, implement and maintain a policy that:

- includes a commitment to provide a fair, ethical and equitable pre-qualification assessment service.
- includes a commitment to treating all parties fairly, equitably and with respect.
- includes a commitment to fulfil legal requirements and other requirements;
- includes a commitment to continual improvement of the OH&S pre-qualification assessment management system.

The policy shall:

- be available as documented information;
- be communicated to all parties involved with the system;
- be available to interested parties, as appropriate;
- be relevant and appropriate.

ROLES, RESPONSIBILITIES, AND AUTHORITIES

BRONZE	SILVER	GOLD
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GENERAL REQUIREMENTS

The member scheme shall ensure that the responsibilities and authorities for relevant roles within the member scheme are assigned and maintained as documented information.

NOTE While responsibility and authority can be assigned, ultimately the member scheme's top management is still accountable for the functioning of the OH&S pre-qualification assessment management system.

Top management shall assign the responsibility and authority for:

- ensuring that the OH&S pre-qualification assessment management system conforms to the requirements of this document;
- reporting on the performance of the OH&S pre-qualification assessment management system to top management;
- moderation of the pre-qualification assessors;
- individual assessment of OH&S pre-qualification submissions.

STEERING GROUP

Tōtika will oversee a steering group that will provide feedback into how the scheme as a whole is operating. The membership and terms of reference for the group shall be managed by Construction Health and Safety New Zealand Trust (CHASNZ).

Member schemes are not required to have their own steering group but may choose to do so.

THE ROLE OF THE PRE-QUALIFICATION SCHEME

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 RISKS AND OPPORTUNITIES

SILVER	GOLD
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GENERAL

SILVER	GOLD
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When planning for the OH&S pre-qualification assessment management system, the member scheme shall consider:

- the issues regarding context of the scheme,
- the requirements of interested parties
- and the scope of the OH&S pre-qualification assessment management system

and determine the risks and opportunities that need to be addressed to:

- give assurance that the OH&S pre-qualification assessment management system can achieve its intended outcome(s);
- prevent, or reduce, undesired effects;
- 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:

- the Tōtika scheme rules;
- the Tōtika core requirements.

The member scheme shall maintain documented information on:

- risks and opportunities;
- 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
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The member scheme shall plan:

actions to:

- address these risks and opportunities;

- address legal requirements, Tōtika requirements and other requirements;

how to:

- integrate and implement the actions into the OH&S pre-qualification assessment management system processes or other business processes;
- 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
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The member scheme shall develop a strategic plan. This plan shall outline:

- the direction the scheme will take over a 12-month period
- how the scheme will focus on continuous improvement of existing processes

The plan shall consider:

- Improvement of services to customers
- Operational improvement
- 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 CONTINUITY PLAN

SILVER	GOLD
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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:

- Natural Disasters
- Disruption to utilities (power, water, sewerage, etc.)
- Loss of IT systems

- Failure of a third-party supplier to provide services
- Loss of team members
- Loss of buildings/facilities
- Health emergencies

The plan shall consider the following aspects and contingencies:

- Communication with customers
- Core pre-qualification assessment scheme functions and how they will be managed
- Essential roles and skill sets needed to support core functions
- Essential equipment and supplies
- Relocation options
- Delegations of authority

SUPPORT

RESOURCES

BRONZE	SILVER	GOLD
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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
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The member scheme shall:

- determine the necessary competence of workers that affects or can affect pre-qualification assessment processes;
- ensure that workers are competent on the basis of appropriate education, training or experience;
- where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken;
- retain appropriate documented information as evidence of competence.

NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons, or the hiring or contracting of competent persons.

TōTIKA COMPETENCY REQUIREMENTS

BRONZE	SILVER	GOLD
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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:

- Occupational (technical OH&S knowledge)
- Assessment (vocational capability regarding assessments)
- Behavioural (appropriate aptitude and attitude for the work)
- Underpinning relevant/related skills, knowledge and experience.

TōTIKA ASSESSMENT PROFESSIONALS COMPETENCY FRAMEWORK

BRONZE	SILVER	GOLD
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Member scheme standard

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.

Table 1: Tōtika Assessor competency requirements

	Member Scheme Level	Who and what basic competencies and professional membership?	How qualified? H&S Occupational Competency Training	H&S Knowledge and Work Experience	Assessor Vocational Delivery Competency Training	Assessment Experience and Currency
Tōtika Assessor	BRONZE	<ul style="list-style-type: none"> The individual shall be recognised as a competent Tōtika Assessor and be an effective assessment team member. They must consistently demonstrate both H&S and assessment competencies underpinned by good assessment and behavioral practices. 	<ul style="list-style-type: none"> Health and safety training deemed appropriate by the member scheme. 	<ul style="list-style-type: none"> Working towards a health and safety qualification. Recent (within the previous 12 months) evidence of supervised practice and supervised work experience facilitated by the member scheme. 	<ul style="list-style-type: none"> Completed internal assessor training provided by and deemed suitable by the member scheme and refresh this training at least every 2 years. 	<ul style="list-style-type: none"> Must complete at least 10 supplier assessments under direct coaching and supervision, before being approved to complete assessments on their own.
	SILVER	<ul style="list-style-type: none"> The individual shall be recognised as a competent Tōtika Assessor and be an effective assessment team member. They must consistently demonstrate both H&S and assessment competencies underpinned by good assessment and behavioral practices. Shall be at least a technician level member (or equivalent) of a HASANZ full member organisation (e.g. TechNZISM). 	<ul style="list-style-type: none"> As designated by NZISM requirements for Technician grading NZISM Qualifications and Experience required for Technician & Graduate Grading 	<ul style="list-style-type: none"> 2000 hours of occupational health and safety practice in the last 3 years. 	<ul style="list-style-type: none"> Completed an assessor/internal auditor training course through a reputable commercial training provider and refresh this training at least every 2 years. Achieved Unit Standard (US) 5619 Level 4 Auditing H&S Systems: Conduct an occupational health and safety management systems audit for a selected business. 	<ul style="list-style-type: none"> Assessors must have their assessment work actively assessed by the member scheme's own Internal Scheme Moderator. This must cover at least 10 supplier assessments for their first 6 months of being appointed.
	GOLD					<ul style="list-style-type: none"> As above + completion of an ISO 45001 General Awareness Training Course

Table 2: Tōtika Moderator competency requirements

	Member Scheme Level	Who and what basic competencies and professional membership?	How qualified? H&S Occupational Competency Training	H&S Knowledge and Work Experience	Vocational Delivery Competency Training	Experience and Currency
<p>Tōtika Internal Scheme Moderator</p> <p>The member scheme internal moderator ensures high quality assessments (systems / resources / processes / assessor approach), and consistency of assessor practice and decision-making.</p> <p>These are the requirements for the overall moderation owner and that other experienced and trained senior assessors can undertake moderation (under the processes owned by the moderation owner and with their oversight).</p>	BRONZE	<ul style="list-style-type: none"> Management Responsibility within the member scheme. Shall be at least a technician level member (or equivalent) of a HASANZ full member organisation (e.g. TechNZISM). 	<ul style="list-style-type: none"> As designated by NZISM requirements for Technician grading <p>NZISM Qualifications and Experience required for Technician & Graduate Grading</p>	<ul style="list-style-type: none"> 2000 hours of occupational health and safety practice in the last 3 years. 	<ul style="list-style-type: none"> Completed an assessor/internal auditor training course through a reputable commercial training provider and refresh this training at least every 2 years. Achieved Unit Standard (US) 5619 Level 4 Auditing H&S Systems: Conduct an occupational health and safety management systems audit for a selected business. 	<ul style="list-style-type: none"> Must have their moderation work reviewed annually by member scheme management.
	SILVER	<ul style="list-style-type: none"> Possess 5+ years occupational H&S advisory/management experience. 	<ul style="list-style-type: none"> As designated by NZISM requirements for Graduate grading: 	<ul style="list-style-type: none"> 4000 hours of occupational health and safety practice in the last 5 years 	<ul style="list-style-type: none"> As above + completion of an ISO 45001 General Awareness Training Course. 	<ul style="list-style-type: none"> Shall have at least 3 years assessment work experience as a Tōtika (or equivalent) Assessor; <p>OR</p> <ul style="list-style-type: none"> Have the equivalent gained from an overseas H&S prequalification assessment body; <p>OR</p> <ul style="list-style-type: none"> provide CPD records and other evidence to demonstrate the equivalent New Zealand experience.
	GOLD	<ul style="list-style-type: none"> Be currently listed on the HASANZ register as a OH&S practitioner or professional or as part of their initial training process be prepared to commit to such membership within a reasonable timeframe, and to maintain/keep current the required competencies/experience for HASANZ registration. 	<ul style="list-style-type: none"> NZISM Qualifications and Experience required for Technician & Graduate Grading 			

ASSESSMENT OF ASSESSORS – SCHEME REQUIREMENTS

GOOD PROCESS – ASSESSOR CAPABILITY TO DELIVER ASSESSMENTS

BRONZE	SILVER	GOLD
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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
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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

Health and safety training deemed appropriate by the member scheme

SILVER	GOLD
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A technician level member of NZISM or equivalent

- **Internal Moderator**

BRONZE

A technician level member of NZISM or equivalent

SILVER	GOLD
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Current registration on the HASANZ register (Practitioner / Professional)

ASSESSORS AND INTERNAL MODERATORS

BRONZE	SILVER	GOLD
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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):

- Appropriate Assessor/Auditor Training as stated
- 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.
- Assessment (practical delivery) Behavioural Competencies
- 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:
 - Business Context
 - Demonstrating understanding of organisational context and practical scale requirements within the organisation being assessed/evaluated.
 - Relationship Management
 - Ensuring a positive, appropriate and professional approach at all touch points with the organisation being assessed/evaluated, and all related stakeholders
 - -Written and oral Communication – in a manner which all suppliers/buyers/stakeholders can reasonably understand
 - Flexibility in Assessment and Evaluation Approaches
 - 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)
 - Fair and Ethical Decision-making and Judgement
 - To ensure fair, transparent, ethical and equitable assessment/evaluation approaches and decisions are made
 - Lead-by-example
 - 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
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Assessors and moderators shall be made aware of:

- the OH&S pre-qualification system policy and objectives;
- their contribution to the effectiveness of the OH&S pre-qualification assessment management system;
- the implications and potential consequences of not conforming to the OH&S pre-qualification assessment management system requirements.

SCALABILITY FOR SMALL BUSINESS ASSESSMENTS

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
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GENERAL

The member scheme shall establish, implement and maintain the process(es) needed for the internal and external communications relevant to the OH&S pre-qualification assessment management system, including determining:

- on what it will communicate;
- when to communicate;
- with whom to communicate:
 - internally among the various levels and functions of the system;
 - among other interested parties;
- 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:

- take into account its legal requirements and other requirements;
- 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 pre-qualification assessment management system.

The member scheme shall retain documented information as evidence of its communications, as appropriate.

INTERNAL COMMUNICATION

The member scheme shall:

- 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;
- ensure its communication process(es) enables moderators and assessors to contribute to continual improvement.

EXTERNAL COMMUNICATION

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 Tötika scheme rules.

DOCUMENTED INFORMATION

BRONZE

SILVER

GOLD

GENERAL

The member scheme's OH&S pre-qualification assessment management system shall include:

- documented information required by this standard;
- documented information determined by the member scheme as being necessary for the effectiveness of the OH&S pre-qualification assessment management system.

NOTE The extent of documented information for an OH&S pre-qualification assessment management system can differ from one organisation to another due to:

- the size of organisation;
- the Tötika scheme grading (Bronze, Silver or Gold);
- the need to demonstrate fulfilment of other requirements; and
- the complexity of processes and their interactions.

CREATING AND UPDATING

When creating and updating documented information, the member scheme shall ensure appropriate:

- identification and description (e.g. a title, date, author or reference number);
- format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- review and approval for suitability and adequacy.

CONTROL OF DOCUMENTED INFORMATION

Documented information required by the OH&S pre-qualification assessment management system and by this document shall be controlled to ensure:

- it is available and suitable for use, where and when it is needed;
- 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:

- distribution, access, retrieval and use;
- storage and preservation, including preservation of legibility;

- control of changes (e.g. version control);
- 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.

NOTE 1 Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

OPERATION OF THE PRE-QUALIFICATION ASSESSMENT SCHEME

OPERATIONAL PLANNING AND CONTROL

BRONZE	SILVER	GOLD
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GENERAL

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:

- following the Tōtika core criteria (including any identified anchor points) for the assessment processes;
- implementing control of the assessment processes in accordance with the scheme rules;
- maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned;
- issuing standardised assessment reports to suppliers who have been assessed.

MANAGEMENT OF CHANGE

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:

- new products, services and processes, or changes to existing products, services and processes, including:
 - workplace locations and surroundings;
 - work organisation;
 - working conditions;
 - equipment;
 - work force;
- changes to Tōtika requirements;
- developments in knowledge and technology.

The member scheme shall review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

NOTE: Changes can result in risks and opportunities.

PROCUREMENT

GENERAL

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

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.

PREQUALIFICATION ASSESSMENT OPERATIONS

BRONZE	SILVER	GOLD
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INITIAL SUPPLIER INFORMATION

Member schemes shall provide suppliers with comprehensive and clear information about the prequalification process they are required to undertake.

CONTRACTOR ENGAGEMENT

Member schemes shall provide suppliers with help, support and guidance with the assessment process.

Member schemes shall ensure resources are provided to enable suppliers to receive support by email and telephone.

FOLLOW UP WITH CONTRACTORS

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.

SUPPLIER RESUBMISSIONS

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The member scheme shall provide reasonable opportunities for suppliers to resubmit assessment evidence to the member scheme before a final assessment outcome is decided.

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.

Member scheme assessors shall clearly explain the reasons why a resubmission of assessment evidence is required.

If the contractor resubmits information, the member scheme shall reassess the new evidence.

FINAL ASSESSMENT

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The member scheme shall ensure that the following is applied to finalising supplier assessments:

- Immediate notification to the supplier that the assessment is complete;
- Make the finding of the assessment available to the supplier in a clear format;

ASSESSMENT MODERATION

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The member scheme shall:

- Ensure all moderation is carried out by the member scheme appointed moderator (ensuring that moderator meets the competency requirements required by this standard).
- Select at least 5% of total finalised assessments for moderation;
- Randomly select assessments for moderation;
- Document the findings of moderation activity including any identified variation in assessment outcome; and
- Provide an appropriate learning and improvement process to ensure suitable feedback is provided to the Assessor.

PREQUALIFICATION ASSESSMENT REPORTS

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Member scheme assessment reports shall include the following information as a minimum:

- The overall result (meets/does not meet the Tōtika core requirements);

- Any proprietary assessment score applied by the member scheme;
- Assessor comments and feedback for each assessment question asked;
- This assessment report shall be made available to the supplier in a format that is easy for them to share with any buyer of their choice.

TOTIKA ASSESSMENT STATUS

BRONZE	SILVER	GOLD
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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 (Note: most of this information is entered into the portal through the supplier registration process).

Supplier information required to be updated/added to the Tōtika portal shall be:

- NZBN
- Formal trading name of the supplier;
- Any other trading names associated with that business;
- Description of construction services delivered by the business that this assessment covers (these must be categorised using the [ANZSIC Classification List](#) Levels 1-4);
- Supplier location (s) as listed:
 - 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:

- Update the information manually using their own allocated Tötika portal log-in; or
- Arrange with Tötika to set up an automated information transfer service with the portal.

INSURANCE MONITORING

BRONZE	SILVER	GOLD
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Tötika does not require member schemes to provide insurance monitoring services, although it is appreciated member schemes may provide this service to their customers.

COMPLAINTS AND ISSUE RESOLUTION

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All members schemes shall document and operate an appropriate system for handling supplier complaints. This shall include:

- 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 Tötika, 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
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GENERAL

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:

- what needs to be monitored and measured, including:
 - 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;
- the methods for monitoring, measurement, analysis and performance evaluation, as applicable, to ensure valid results;
- the criteria against which the member scheme will evaluate its pre-qualification system performance;
- when the monitoring and measuring shall be performed;
- 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

The member scheme shall establish, implement and maintain a process(es) for evaluating compliance with this document and scheme rules.

The member scheme shall:

determine the frequency and method(s) for the evaluation of compliance;

evaluate compliance and take action if needed;

maintain knowledge and understanding of its compliance status with this standard and other Tötika requirements;

retain documented information of the compliance evaluation results.

AUDIT AND REVIEW

INTERNAL AUDIT

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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

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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.

EXTERNAL AUDIT

BRONZE	SILVER	GOLD
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Member schemes shall demonstrate conformity to this standard and can only do so by seeking certification/registration of its OH&S prequalification management system by the scheme Certification Body.

The Certification Body auditors are to be trained and competent in the Tōtika scheme requirements.

Member schemes shall be audited initially as part of the process for becoming a Tōtika member scheme.

The audit programme is to be in line with the requirements of ISO 17021-1 and follow a two-stage initial audit process:

- Stage 1 is to review the system documentation, confirm readiness for, and plan the Stage 2 audit.
- Stage 2 is to confirm implementation and effectiveness of the Quality Management System.

Audit times are to be established based on the number of staff in the organization following the requirements of ‘International Accreditation Forum (IAF) [Mandatory Document \(MD\) 5 - Determination of audit time of Quality, Environmental and Occupation Health & Safety Management Systems](#) and Annex A – Quality Management Systems’.

For multi-site pre-qualification members site sampling is acceptable in line with the requirements detailed in [IAF MD 1](#).

Sufficient contractor files need to be assessed to provide confidence that the prequalification process is consistently applied and effective. Schemes with identified major nonconformities after external audit, shall be required to be externally audited in 12 months from the date of their current external audit.

Schemes with no identified major nonconformities shall be required to be externally audited in 24 months from the date of external audit.

MAJOR NONCONFORMANCE

Nonconformity that effects the capability of the management system to achieve the intended results.

There is significant doubt that effective process control is in place or that the service will meet specified requirements.

A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity

MINOR NONCONFORMANCE

Nonconformity that does not affect the capability of the management system to achieve intended results.

Member schemes failing to close out major nonconformities within the prescribed timescale defined by the auditor will lose their Tōtika member scheme status.

Any organisation that loses member scheme status will be required to undergo a further full external audit to gain recertification as a Tōtika member scheme.

IMPROVEMENT

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GENERAL

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

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:

- take action to correct it;
- review the nonconformity;
- determining the cause(s) of the nonconformity;
- determining if similar nonconformities exist, or if they could potentially occur;
- determine and implement any action needed;
- review the effectiveness of any corrective action;
- 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:

- the nature of nonconformities and any subsequent actions taken;
- the results of any action and corrective action, including their effectiveness.

CONTINUAL IMPROVEMENT

The member scheme shall continually improve the suitability, adequacy and effectiveness of the OH&S pre-qualification assessment management system, by:

- enhancing system performance and efficiency;
- maintaining and retaining documented information as evidence of continual improvement.