

QUESTIONNAIRE GUIDANCE AND MINIMUM EVIDENCE REQUIREMENTS

TŌTIKA

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CHHSNZ

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

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QUESTIONNAIRE GUIDANCE AND 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”.

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-------------------------------------|----------------------------|---|---|---|
| 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. |
| 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) |
| 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. |
| ST4: | 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? | Name of person/ source who H&S advice and the frequency at which they obtain advice. |
| HAZARDS, RISKS, AND CONTROLS | | | | |
| ST5: | 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------|--|---|---|--|
| ST6: | 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 ST06.</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> |
| ST7: | 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” . | <p>Description of isolation process should include similar to the following:</p> <ul style="list-style-type: none"> ▪ tagged/locked out ▪ testing for zero energy state ▪ process for removal ▪ responsibility |
| ST8: | 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” . | <p>Description of maintenance, testing and/or calibration of equipment. Should include similar to the following:</p> <ul style="list-style-type: none"> ▪ items being tested/inspected outlined ▪ checks/inspections are undertaken ▪ frequency defined ▪ indicates tester i.e. internal/external. |
| INCIDENTS | | | | |
| ST9: | 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. |
| ST10: | 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|--------------------------------|--|--|---|--|
| TRAINING AND COMPETENCE | | | | |
| ST11: | 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>Trader shall have completed recognised foundation H&S training at least once and if a construction contractor must have completed an independent Foundation H&S Knowledge Assessment.</p> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------------|----------------------------|--|---|--|
| ST12: | 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” . | <p>The activities that the Sole Trader does should be reviewed and any licensing and/or certification requirements established. If any are required, the following should be provided:</p> <ul style="list-style-type: none"> ▪ a copy of the current licence/certification and expiry date |
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|--|---|---|
| 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> |
| 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> |
| 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.</p> |
| 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> |

QUESTIONNAIRE GUIDANCE AND 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”.

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|---------|--|--|
| | Alternate Certification | | <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"> • Q-Safe • ISO45001 • SafePlus | <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. Performing or Leading for SafePlus <p>Copy of certificate issued by third party assessor</p> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---------------------------|--------------------------|---|--|---|
| 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 |
| 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> |
| H&S PROCEDURES | | | | |
| SB3: | Documented procedures | The organisation shall state if they have a 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|--|------------------------------------|--|---|---|
| SKILLS, TRAINING, COMPETENCY, AND SUPERVISION | | | | |
| SB4: | 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 | <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> |
| SB5: | 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>Induction procedure (may be part of wider training procedure) or description of process. Or procedure/HSMS reference if supplied in SB03.</p> <p>Training register supplied above shows induction training has been completed.</p> <p>Two most recently completed inductions.</p> |
| SB6: | Foundation training and assessment | The organisation shall provide evidence that all workers have attended appropriate foundation H&S training and completed an independent Foundation H&S Knowledge Assessment if they work in the construction sector. | Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations; Site Safe Passport). If working in the construction sector, have workers completed an independent foundation knowledge assessment? “NA Possible” | <p>Training register supplied above shows foundation level training has been completed.</p> <p>If working in the construction sector, 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|--|--|--|--|--|
| SB7: | 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> |
| EVENT REPORTING, RECORDING, AND INVESTIGATION | | | | |
| SB8: | 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 SB03.</p> <p>Two most recent event/incident report examples provided.</p> |
| SB9: | 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> |
| SB10: | 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 or a description of when the organisation may need to notify WorkSafe of Notifiable Work or an Event. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|-----------------------------|--|---|--|
| SB11: | 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? | Description covers the following: <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. |
| EMERGENCY MANAGEMENT & RESPONSE | | | | |
| SB12: | 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 SB03. Should cover general emergencies such as fire, earthquake, medical event, tsunami (if relevant), verbal or physical assault (if relevant), bomb threat (if relevant). |
| COMMUNICATION, ENGAGEMENT, AND PARTICIPATION | | | | |
| SB13: | 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? | Documented procedure or process supplied. Or procedure/HSMS reference if supplied in SB03. Participation process appropriate to nature of organisation. |
| SB14: | Meetings | The organisation shall show that they hold regular meeting 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? | 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|--|--|--|--|
| HAZARD/RISK IDENTIFICATION AND PROVISION OF EFFECTIVE CONTROLS | | | | |
| SB15: | 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. | Documented procedure supplied. Or procedure/HSMS reference if supplied in SB03. The procedure should cover how both physical environment hazards/risks and also those associated with work activities are dealt with. Copy of hazard/risk register. Copy of a JSA, TA, SoP, or SWMS or similar for work activity. “NA Possible” |
| SB16: | 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? | Via induction or other training/briefing with sign off by workers confirming understanding. Evidence required that supports this is happening e.g. records. |
| SB17: | 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 illustrates monitoring/review activity e.g. inspections, post incident review, review of registers etc. |
| SB18: | 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 SB03. And/or description shows that appropriate PPE is provided, checked/maintained and workers are trained in use. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|---|---|--|---|
| HEALTH MONITORING | | | | |
| SB19: | 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 SB03. 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. |
| HEALTH AND SAFETY INSPECTIONS | | | | |
| SB20: | Work site health and safety inspections 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? “NA Possible” if only office work environment | Documented procedure supplied. Or procedure/HSMS reference if supplied in SB03. |
| SB21: | Frequency of inspections | The organisation shall demonstrate how often inspection 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 | 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. |
| SUB-CONTRACTORS (NOTE THIS SECTION APPLIES TO SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS) | | | | |
| SB22: | 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 SB03. 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|---|---|---|---|
| SB23: | 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. |
| SB24: | 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, JSA/TA/SWMS/SSSP review etc. |
| SB25: | Performance monitoring | The organisation shall show how sub-contractor performance is monitored and how ongoing learning and improvement is achieved. | Do you regularly monitor your contractors H&S performance and provide feedback on this to them? If yes what is the frequency of this and why is this viewed as appropriate? “NA Possible” if sub-contractors clearly not engaged. | This will typically take the form of physical works inspection, behavioural observation, or assessment against a JSA/TA/SWMS/SSSP review (or similar). Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): daily, weekly, fortnightly, monthly, other. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------|-------------|--|---|---|
| PLANT & EQUIPMENT | | | | |
| SB26: | 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 SB03. 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> |
| HAZARDOUS SUBSTANCES | | | | |
| SB27: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | <p>Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>Documented procedure/process supplied. Or procedure/HSMS reference to information if supplied in SB03.</p> |
| SB28: | 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 Hazardous Substance Regulations)</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------------|----------------------------------|--|---|---|
| SB29: | 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> |
| SB30: | Hazardous Substance Training | <p>The organisation shall provide evidence that they have provided the required training to workers in the use of hazardous substances they may use.</p> | <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 SB04 if this contains the records. Alternatively provide records for a sample of workers (2). |
| H&S PERFORMANCE HISTORY | | | | |
| SB31: | Prosecution or convictions | <p>Organisation provides details of any prosecution of the business, directors, or senior management relating to health and safety in the last 5 years.</p> | <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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|--|---|---|
| SB32: | 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> |
| SB33: | 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.</p> <p>Information provision only</p> |
| SB34: | 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> |
| SB35: | 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> |

QUESTIONNAIRE GUIDANCE AND 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”.

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
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| | Alternate Certification | | <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"> ▪ Q-Safe ▪ ISO45001 ▪ SafePlus | <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. Performing or Leading for SafePlus <p>Copy of certificate issued by third party assessor</p> |
| LEADERSHIP | | | | |
| 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 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 |

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| 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? | Via induction or other training/briefing with sign off by workers confirming understanding. Evidence required that supports this is happening e.g. records. |
| 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? | Describe what H&S accountabilities are applied to management roles in the organisation and how this is done. Identify the most senior manager and their role with overall accountability for H&S Provide two different examples of job descriptions (or similar) with specific H&S requirements included. |
| 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? | Describe an issue your business managed that demonstrates your approach to managing H&S related issues. The description should include: <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 |
| 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? | Describe what H&S processes and activities senior managers are engaged in. This should include: <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 Provide recent evidence for all of the above |

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| 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 |
| 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? | <p>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.</p> <p>Further sections require evidence of specific documented processes to be provided.</p> |

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| 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>“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 <p>Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program.</p> <p>Advisor/s must hold at least a Graduate level (or equivalent) membership of a recognised health and safety registration body in NZ.</p> |

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| 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. |

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| 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>“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 |
| 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? |

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| 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> |
| 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> |
| 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> |

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| 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 |
| 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> |

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| MB17: | Foundation training and assessment | The organisation shall provide evidence that all workers have attended appropriate foundation H&S training and completed an independent Foundation H&S Knowledge Assessment if they work in the construction sector. | Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations; Site Safe Passport). If working in the construction sector, have workers completed an independent foundation knowledge assessment? “NA Possible” | Training register supplied above shows foundation level training has been completed. If working in the construction sector, training or competency register show that a foundation knowledge assessment has been carried out. Knowledge assessment must be independently delivered of the training provider. |
| MB18: | 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. | Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications? 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. “NA Possible” if hazardous work not undertaken | Describe the following: <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 Training register supplied above shows specialist training has been completed. |
| 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. | 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. Provide records/evidence of this on job training and supervision. |

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| 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. |
| 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? | Either covered in procedure above or a description that demonstrates this. 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. |
| 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. |
| 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? | 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 the two investigation examples provided in SB21, provide evidence of the agreed corrective actions and their completion. |

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| 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). |
| 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> |

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| 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 |
| 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> |

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| 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. |

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| 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.</p> <p>Provide examples of the application of two hazard/risk identification methods (as described above) that have recently been completed (within last two years).</p> |

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| 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. |
| 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 |
| 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? | 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. Copy of two from the following: JSA, TA, SoP, or SWMS or similar for work activity. |

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| MB33: | 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? | <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> |
| MB34: | Stress, fatigue, and mental wellbeing | The organisation has processes in place to manage work related stress, fatigue and mental wellbeing. | Does the organisation have processes and resources to provide worker support for stress, fatigue, and mental wellbeing? | <p>Describe how your organisation manages stress, fatigue, and mental wellbeing including:</p> <ul style="list-style-type: none"> ▪ Documented policy/procedure; ▪ Access to specialist advice; ▪ Worker training and awareness; ▪ Specific resources for workers; ▪ Monitoring and reporting. |

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| OCCUPATIONAL HEALTH AND WELLNESS | | | | |
| MB35: | 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 |
| MB36: | 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 |

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| MB37: | Stress, Fatigue and Mental Wellbeing | The organisation has processes in place to manage work related stress, fatigue and mental wellbeing. | 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>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:</p> <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. |

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| HEALTH AND SAFETY INSPECTIONS | | | | |
| MB38: | 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> |
| MB39: | 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. |
| SUB-CONTRACTORS AND PCBU'S (NOTE THIS SECTION – OTHER THAN MB40 - APPLIES TO ONLY SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED/SCORED AS SUCH. | | | | |
| MB40: | 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. |

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| MB41: | Sub-contractor engagement | The organisation shall ensure that all sub-contractors have completed a Totika (if working in the construction sector) or other recognised H&S pre-qualification assessment or cross-recognised audit. | 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. |
| MB42: | 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. | Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship): <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) Evidence of the above is provided. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--|---|---|--|
| MB43: | 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> |
| MB44: | 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>“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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------|-------------|--|---|---|
| PLANT & EQUIPMENT | | | | |
| MB45: | 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> |
| MB46: | 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? | <p>Evidence should cover:</p> <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. |
| HAZARDOUS SUBSTANCES | | | | |
| MB47: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | <p>Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>Documented procedure/process supplied. Should cover:</p> <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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------------------------------|---|---|---|
| MB48: | 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 Haz Sub Regs) “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Provide a 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 |
| MB49: | Safety Data Sheets and labelling | The organisation shall show how current safety data sheets are obtained and how the contents are communicated to workers using the substances. The organisation shall demonstrate how it confirms that all hazardous substances are appropriately labelled and marked. | Describe how you get safety data sheets (SDS) for your hazardous substances and how these are communicated/provided to your workers. Describe how you ensure all hazardous substances are appropriately labelled and marked. “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Covered in procedure in SB45 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. Three recent SDS (< 5 years old) provided for three substances from inventory. Description of how hazardous substances are appropriately labelled. |
| MB50: | 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. | Have workers been trained in the safe use and handling of the hazardous substances they use or are exposed to? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Describe what hazardous substances training is provided and include in this: <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 SB15 if this contains the records. Alternatively provide records for a sample of three workers. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------------|----------------------------|--|--|---|
| H&S PERFORMANCE HISTORY | | | | |
| MB51: | 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> |
| MB52: | 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> |
| MB53: | 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> |
| MB54: | 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|---|--|--|
| MB55: | 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> |

QUESTIONNAIRE GUIDANCE AND 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”.

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|---|--|--|
| | Alternate Certification | | <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"> ▪ Q-Safe ▪ ISO45001 ▪ SafePlus | <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. Performing or Leading for SafePlus <p>Copy of certificate issued by third party assessor</p> |
| 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 | <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 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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--------------------------|--|---|---|
| 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? | Via induction or other training/briefing with sign off by workers confirming understanding. Evidence required that supports this is happening e.g. records. |
| 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? | Describe what H&S accountabilities are applied to management roles in the organisation and how this is done. Identify the most senior manager and their role with overall accountability for H&S Provide two different examples of job descriptions (or similar) with specific H&S requirements included. |
| 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? | Separately describe two issues your business managed that demonstrates your approach to managing H&S related issues. Each example should include: <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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|----------------------------------|---|--|---|
| 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> |
| 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 |
| 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? | <p>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.</p> <p>Further sections require evidence of specific documented processes to be provided.</p> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------------------|--|---|---|
| LB8: | 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>“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 <p>Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program.</p> <p>Advisor/s must hold at least a Graduate level (or equivalent) membership of a recognised health and safety registration body in NZ.</p> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------------|---|---|---|
| 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|---------------------------------------|--|---|--|
| 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>“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 |
| LB11: | 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? |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--|---|--|---|
| 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> |
| 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> |
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
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| 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 |
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--|---|--|--|
| LB17: | Foundation training and assessment | The organisation shall provide evidence that all workers have attended appropriate foundation H&S training and completed an independent Foundation H&S Knowledge Assessment if they work in the construction sector. | Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations; Site Safe Passport). If working in the construction sector, have workers completed an independent foundation knowledge assessment? “NA Possible” | Training register supplied above shows foundation level training has been completed. If working in the construction sector, training or competency register show that a foundation knowledge assessment has been carried out. Knowledge assessment must be independently delivered of the training provider. |
| 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. | Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications? 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. “NA Possible” if hazardous work not undertaken | Describe the following: <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 Training register supplied above shows specialist training has been completed. |
| 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. | 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. Provide records/evidence of this on job training and supervision. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
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| 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. |
| 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. |
| 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. |
| 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 SB21, provide evidence of the agreed corrective actions and their completion. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
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| 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). |
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|-------------------------------------|---|--|---|
| 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 |
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------|---|--|---|
| LB28: | 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|--|--|---|---|
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-----------------------------------|---|--|--|
| 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? | 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. |
| 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? | 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 |
| 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? | 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. Copy of three from the following: JSA, TA, SoP, or SWMS or similar for work activity. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------|--|---|---|
| LB33: | 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? | <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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|---|---------------------------------------|---|--|--|
| 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. | 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 |
| 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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--------------------------------------|--|--|--|
| LB36: | Stress, Fatigue and Mental Wellbeing | The organisation has processes in place to manage work related stress, fatigue and mental wellbeing. | 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>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:</p> <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 |
|--|--|--|--|---|
| 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> |
| 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. |
| SUB-CONTRACTORS AND PCBU'S (NOTE THIS SECTION – OTHER THAN LB39 - APPLIES TO ONLY SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED/SCORED AS SUCH. | | | | |
| 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. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|---|--|--|---|
| LB40: | Sub-contractor engagement | The organisation shall ensure that all sub-contractors have completed a Totika (if working in the construction sector) or other recognised H&S pre-qualification assessment or cross-recognised audit. | 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 three examples of recent sub-contractor H&S prequalification. |
| 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. | Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship): <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) Evidence of the above is provided. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--|---|---|--|
| 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> |
| 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, cooperate, and coordinate activities with other organisations you might work with or in the vicinity of?</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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------|-------------|--|---|---|
| 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> |
| 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? | <p>Evidence should cover:</p> <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. |
| HAZARDOUS SUBSTANCES | | | | |
| LB46: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | <p>Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances?</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>Documented procedure/process supplied. Should cover:</p> <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 |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|----------------------------------|---|---|--|
| LB47: | 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 Haz Sub Regs) “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Provide a 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 |
| LB48: | Safety Data Sheets and labelling | The organisation shall show how current safety data sheets are obtained and how the contents are communicated to workers using the substances. The organisation shall demonstrate how it confirms that all hazardous substances are appropriately labelled and marked. | Describe how you get safety data sheets (SDS) for your hazardous substances and how these are communicated/provided to your workers. Describe how you ensure all hazardous substances are appropriately labelled and marked. “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Covered in procedure in SB45 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. Three recent SDS (< 5 years old) provided for three substances from inventory. Description of how hazardous substances are appropriately labelled. |
| 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. | Have workers been trained in the safe use and handling of the hazardous substances they use or are exposed to? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Describe what hazardous substances training is provided and include in this: <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 SB15 if this contains the records. Alternatively provide records for a sample of four workers. |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|------------------------------------|----------------------------|--|--|---|
| 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. | <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"> 3. offence you were charged with including when and where it occurred 4. 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> |
| 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"> 3. details of the enforcement action 4. 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> |
| 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> |
| 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"> 3. offence you were charged with including when and where it occurred 4. 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-------------------------|---|--|--|
| 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> |

QUESTIONNAIRE GUIDANCE AND MINIMUM REQUIREMENTS FOR PRINCIPLE CONTRACTORS (CONSTRUCTION SECTOR ONLY)

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 |
|-----------------|--|---|---|--|
| 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). |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-----------------|--|---|---|
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|-----------------------------|---|--|---|
| 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> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|---------------------------|--|--|--|
| PC04 | Making the client aware | The organisation has processes to ensure the client is aware of their H&S duties. | How do you ensure the client is aware of their H&S duties 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 duties and how you ensured they met them (or how you dealt with them if they didn't met them). |
| 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 <p>▪ their qualifications and/or professional registration</p> <p>▪ your CPD programme and/or examples of training and/or development plans for your advisors (which may include in-house training)</p> <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 Graduate level (or equivalent) membership of a recognised health and safety registration body in NZ.</p> |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|------------------|---|---|---|
| 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 |
| 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> |

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

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 |
|-----------------|----------------------------|---|---|---|
| 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 WorkSafe 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> |
| 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 (ref WorkSafe SiD Guidelines) |

| Core Criteria # | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements |
|-----------------|--|--|---|--|
| 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 |
| 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> |
| PD05 | Making the client aware | The organisation has processes to ensure the client is aware of their H&S duties through the safety in design process. | How do you ensure the client is aware of their H&S duties 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 duties relating to SiD and how you ensured they met them (or how you dealt with them if they didn't met them). |