Scheme Rules

1 NOVEMBER 2021 – VERSION 2.1

Version	Date	Name	Details
0.1	5 June 2020	J Harper-Slade	Final exposure draft
0.2	9 June 2020	J Harper-Slade	Addition of section on recognised external audit and certification schemes. Addition of OHSAS 18001:2001 as an accepted scheme until 11 March 2021. Addition of AS/NZS 4801 for Class A Asbestos Removalists only. Safe+ Assessment Grading valid 2 years. Safe+ Assessors require HASANZ registration from 31 Mar 2021. Minor changes to more consistently refer to 'member schemes'.
0.3	23 June 2020	J Harper-Slade	Providing clarity that Cat 1, and ST Pre-qualification assessments will be valid for 2 years. Steering Group Representatives to communicate with their wider stakeholder group.
1.0	1 July 2020	J Harper-Slade	Response to feedback from stakeholder meetings: - Removal of Cat 3 On-Site Verification Assessments for Gold Member Schemes - Clarify 'scalability' considerations for small businesses in Cat 2 and Cat 3. - Clarifying steering group representation and operation of stakeholder groups. - Supplier consent requirements. - Clarifying the status of suppliers who operate as lead or principal contractors or designers.
1.1	6 July 2020	J Harper-Slade	Minor change to Safe+ Auditor Requirements as 'Safe+ Accredited Assessor' (P16).
1.1.1	22 July 2020	J Harper-Slade	Broadened ISO 45001 recognition to auditors accredited by an IAF Accredited Body Member.
1.1.2	17 September 2020	J Harper-Slade	JAS-ANZ have extended the window for transition from 18001 to 45001 and provided a deadline for transition from 4801. Cross-recognition table updated to reflect this.
1.1.3	2 November 2020	J Harper-Slade	Removed one line of text relating to on-site assessment for Cat 3 Suppliers (one bit of text missed on 1 July 2020 edit) – Page 10

Version	Date	Name	Details
1.2	27 April 2021	J Harper-Slade	Clarified that external certifications or assessments are regarded as 'Performing' on the Tōtika register – Page 15
2.0	23 August 2021	J Harper-Slade	Highlighted that a buyer is not obligated to cascade the Tōtika principal's requirement into sub-supply chains. Added reference to the standardised scoring process Removed references to grading of member schemes.
2.1	1 November 2021	J Harper-Slade	Re-branded document Improved medical practitioner and nurse recognition Added Safetree Contractor Certification to recognised scheme list

TABLE OF CONTENTS

OVERVIEW

An integral part of any procurement process is evaluating whether a potential supplier is committed to good Health & Safety, with robust Health & Safety leadership and risk management practices in place. This includes how they mitigate risks, keep people safe, and meet their legislative and regulatory obligations on a day-to-day basis.

The purpose of health and safety pre-qualification is to provide procurers of services re-assurance that suppliers are engaged in suitable health and safety management practices that are appropriate for the type of service they provide.

Tōtika has been implemented to provide:

- a common standard for all health and safety pre-qualification systems
- a single place to find pre-qualified supplier information
- cross-recognition for supplier external audit effort
- a common view of suppliers through classification

Tōtika has been designed to:

- assure Buyers that the standard of the pre-qualification systems available in the market are suitable and sufficient
- reduce compliance costs for Suppliers while effectively and proportionately measuring their health and safety commitment, performance, and capability.
- provide recognition for Suppliers who choose to engage in externally audited health and safety systems
- a reduction in the amount of supplier effort needed to demonstrate health and safety to their buyers

SCHEME RULES

This section outlines the requirements for scheme participants. The scheme rules apply to all schemes and organisations accepted for membership to Tōtika.

Variations to the rules may be made by the Construction Health and Safety New Zealand Trust (CHASNZ) following consultation with the Tōtika Steering Group.

These rules will be made available on the Tōtika website.

DEFINITIONS

It is understood that there are three types of participation in the Tōtika scheme:

Buyers:	Businesses who procure services from Suppliers with a recognised pre-requisite level of Health and Safety competency to meet their initial defined procurement project needs.
Suppliers:	Businesses who supply services who have been assessed as meeting the Tōtika Standard for Health and Safety Pre-qualification.
Member schemes:	Health and Safety pre-qualification (H&S Prequal) assessment schemes recognised by Tōtika and certified to meet the requirements of the member schemes standard

GOVERNANCE

- Tōtika will be governed by the CHASNZ board of trustees.
- The CHASNZ board of trustees are responsible and accountable for the governance of the Tōtika scheme.
- The governance board of trustees can be found here: https://www.chasnz.org/about#Board

MANAGEMENT AND OPERATIONS

- The CHASNZ Senior Management Team (SMT) are responsible and accountable for the Tōtika scheme. CHASNZ SMT have all final decision-making authority relating to the operation of Tōtika.
- The CHASNZ SMT will be responsible for facilitating the Steering Group.
- Rules and Fees for the scheme will be set by the CHASNZ SMT and approved by the CHASNZ board.
- The scheme has been established to recover fees in order to meet the costs of operating a sustainable scheme. The CHASNZ senior management team will be responsible for reviewing the fees periodically, to ensure that income levels are appropriate to cost recovery with a modest surplus for contingency. The CHASNZ Finance Manager will provide appropriate accounting and finance oversight for Tōtika.

TŌTIKA STEERING GROUP AND STAKEHOLDER GROUPS

STEERING GROUP

- The CHASNZ SMT will be responsible for facilitating the Steering Group.
- The Tōtika Steering Group will be consulted on changes to the Tōtika scheme standard and core requirements. They will also be consulted on changes to rules and fees.
- Final decisions on changes will be made by CHASNZ.
- The Steering Group will include two people from each wider stakeholder group.
- Steering Group Members will be initially selected by CHASNZ,
- The Steering Group will initially meet once every two months. Frequency of meetings may be changed by CHASNZ in agreement with Steering Group members.
- Steering Group members will be responsible for facilitating their own stakeholder group meetings (using web services such as Zoom or MS Teams).

STAKEHOLDER GROUPS

- Stakeholder Groups will be chaired and organised by their Steering Group Representatives.
- Stakeholder Groups will be responsible for electing and rotating Steering Group representatives as they see fit. Initial Steering Group representatives will be selected by CHASNZ to expedite formation and organisation of the group.
- There will be three stakeholder groups representing:
  - Member Schemes;
  - Suppliers; and
  - Buyers.
- It is expected that stakeholder groups will meet once every two months initially and that the group may modify meeting frequency as agreed by group members.

RULES FOR BUYERS

- Any procurer of services in New Zealand may become a buyer member of Tōtika.
- Buyers will apply and pay on-line for membership at www.chasnz.org/totika.
- Fees are set by the CHASNZ SMT and reviewed periodically.
- This fee will provide the buyer access to the Tōtika portal for 12 calendar months.
- Buyers are required to communicate expectations to their supply chain that they must engage with the Tōtika scheme. It is desirable that this requirement is cascaded through the sub-supply chain, but this not mandatory.
- Buyers may reserve the right to use suppliers who are not listed on the Tōtika register.

RULES FOR SUPPLIERS

- Suppliers wishing to appear in the Tōtika portal will be required to register and engage in an appropriate pre-qualification assessment with a member scheme or successfully complete a Tōtika cross-recognised external certification or assessment process.
- Suppliers will find a tool to help them identify their correct supplier category and get information on how to be recognised by the scheme at www.chasnz.org/totika .
- The website will provide the buyer with the necessary information and links for:
  - Their Tōtika supplier category;
  - An appropriate level of pre-qualification assessment or OH&S external audit;
  - Which member assessment schemes and audit certification schemes they can use.
- Suppliers will be responsible for:
  - arranging and funding their own pre-qualification assessment or certification;
  - providing buyers with assessment or audit reports when requested;
  - engaging in audit or assessment annually (or every 2 years in specific cases);
  - keeping any documents uploaded to the Tōtika portal up-to-date.
- Any document uploaded to the portal to provide evidence of cross-recognised third party audit certification must be kept up-to-date. Any expired certificates will be automatically removed from the portal along with the suppliers current listing.
- Suppliers on registration will provide consent to:
  - Appear on the register.
  - Allow member buyers to access their details and information held by the scheme.
  - Allow member schemes to provide Tōtika with their assessment information.
  - Allow member buyers to access any uploaded documentation.
  - Providing member buyers with associated assessment or certification reports on request.

RULES FOR MEMBER ASSESSMENT SCHEMES

- These rules apply equally to commercial and non-commercial H&S prequal assessment systems and schemes.
- All member schemes accepted for Tōtika membership will abide by the rules laid out in this document and the standard for member schemes.
- Any further data requested of the supplier organisation by the member scheme (e.g. financial, insurance, CSR, environmental, or other H&S information), shall be outside of the scope of Tōtika.
- Commercial member assessment schemes are responsible for operating their businesses in a way where they do not bring Tōtika and CHASNZ into disrepute.
- All member schemes must ensure that their operations are conducted in an ethical manner and do not mislead suppliers or buyers in any way.
- CHASNZ reserve the right to investigate any situation where a member assessment scheme is acting in an unfair, unethical, ineffective or unreasonable manner. If, as a result of an investigation, the member scheme is found to be acting improperly or contrary to scheme rules or standards, the CHASNZ SMT may revoke membership or alternative punitive measures deemed appropriate to the circumstances. The CHASNZ board will rule on any punitive actions recommended by a CHASNZ SMT investigation. Fees paid by the member scheme are not refundable.

- Organisations wishing to gain Tōtika member scheme status, must arrange for a Tōtika certification audit to the Tōtika member scheme standard.
- The scheme assessment body (JAS-ANZ) will provide member scheme certification audits.
- The scheme assessment body auditor will provide CHASNZ with a recommendation as to whether a H&S prequal scheme is appointed as a member scheme. If the assessment scheme fails to adequately meet the standard then the scheme will not be appointed as a member scheme and will be provided with a list of nonconformities. A subsequent Tōtika assessment audit will be required to meet the rating.

Assessment schemes not rated are not permitted to conduct assessments recognised by Tōtika and will not be recognised member schemes.

- Assessment for Cat S and Cat 1 suppliers will be valid for 2 years.
- Member schemes will be required to be externally audited by the Tōtika Scheme Assessment Body periodically to retain Tōtika member status. Audit frequency is specified in the member scheme standard.
- Tōtika member schemes will be required to upload basic assessment data to the Tōtika portal. The Tōtika member scheme standard contains the details of what information is required in the portal.
- On initial appointment, member schemes must communicate with all of their registered suppliers with information on how they register with Tōtika (free registration).
- On initial appointment, member schemes are to export all of their supplier assessment outcomes (that are not expired) into the Tōtika portal, so those assessment expiries can be honoured.
- Suppliers who have met the core requirements through assessment or cross-recognised audit appropriate to their Tōtika category will be uploaded to the portal (Performing Status). Any supplier assessed by the member scheme and rated as not yet meeting the standard, can still be added to the Tōtika portal and will be rated as assessed but not yet meeting the standard (Developing Status). Suppliers registered to the portal, but not yet assessed will not be visible on the register.
- Member schemes shall provide an assessment score expressed as a percentage. Details of the standardised scoring process are contained within the member scheme standard.
- Where suppliers fail to meet the core requirements for their category, the member assessment scheme must issue the business with adequate information on how to improve for future successful assessment.
- Member Schemes will be permitted to use the Tōtika logo. Tōtika branding guidelines must be strictly followed.
- Member schemes are expected to manage conflicts of interest appropriately.
- Member scheme assessors and moderators must apply a reasonable approach when assessing small businesses in all categories. It is completely possible for small businesses to demonstrate they meet the core requirements without implementing the complex documented systems that are required in larger organisations.

RULES FOR THE TŌTIKA STEERING GROUP

- The Steering Group will be chaired by a member of the CHASNZ SMT.
- The steering group will be initially appointed by the CHASNZ Senior Management Team and will have representation from member schemes, member buyers, and suppliers stakeholder groups.

- Representation will be two people from each Stakeholder Group.
- The steering group will be limited to a maximum of ten people. Not all member schemes, buyers, and suppliers will be able to attend. All stakeholders will have the opportunity to attend stakeholder group meetings, chaired by their steering group representatives.
- The group will meet quarterly.
- CHASNZ will be responsible for the minutes and facilitating the steering group meetings.
- The steering group will develop and agree their own terms of reference in line with these rules.
- Steering group members will be responsible for communicating with their own wider stakeholder group.

VERIFICATION PROCESS REQUIREMENTS

Suppliers have the option of two verification pathways as outlined in Figure 1.

Figure 1: Verification Pathways

Tōtika Verification Pathways
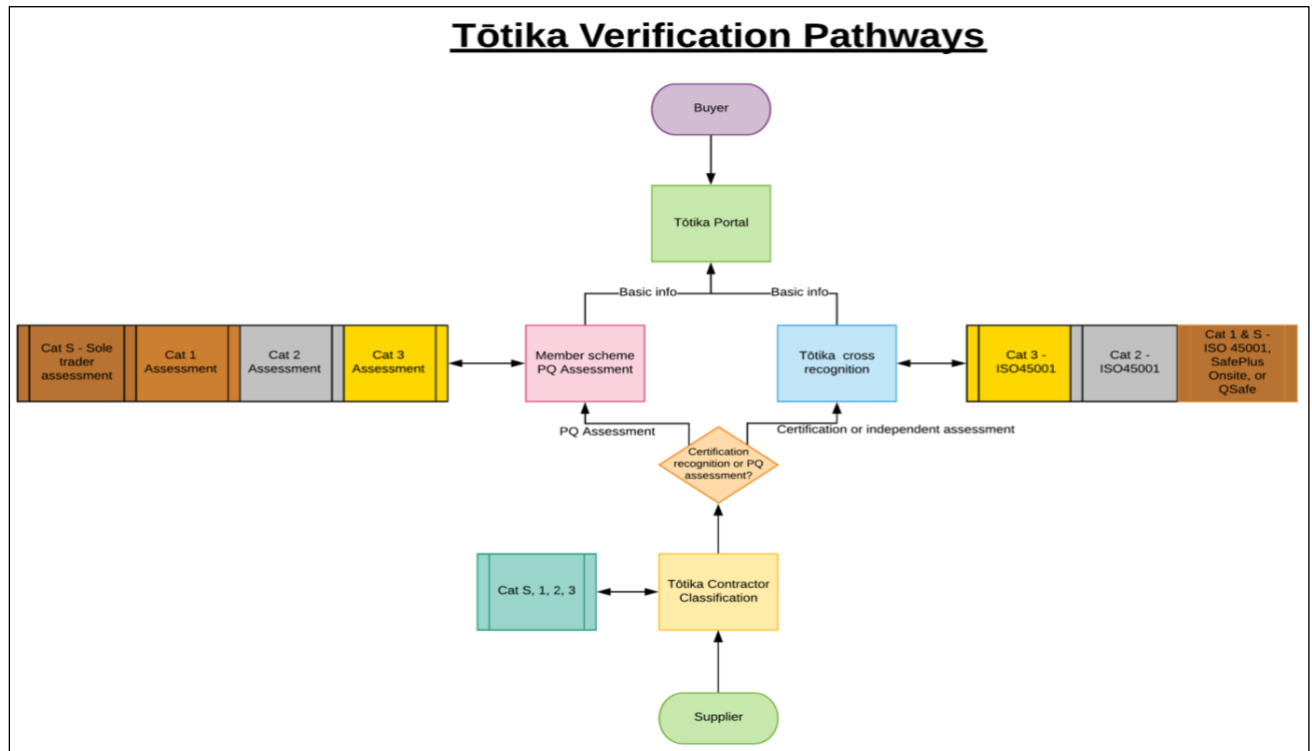
SUPPLIER CLASSIFICATION

To ensure that businesses are asked to undertake assurance activities proportional to their need, Tōtika takes the following criteria into account:

- Company size
- Contract tender values
- Certain high or very high risk work activities

Suppliers should use the classification tool on the Tōtika website portal to identify their appropriate supplier classification.

The Contractor Classification process is shown in Figure 2.

CATEGORY S – SOLE TRADER

A Category S supplier does not employ staff, does not engage other contractors, contracts independently, and works independently.

They may choose to engage in:

- a pre-qualification assessment with any Member Scheme (which will be valid for 2 years); or
- a SafePlus Onsite Assessment (Valid for 2 years); or
- Q-Safe Certification; or
- ISO 45001 Certification.

CATEGORY 1 – SMALLER SIZED, REGULAR RISK ACTIVITY SUPPLIER

A Cat 1 supplier:

- employs no more than 20 people;
- does not take on contracts in excess of NZ$2.5million; and
- will not have a primary work activity defined in the Tōtika high or very high risk work activity list.

They may choose to engage in:

- a pre-qualification assessment with any Member Scheme (which will be valid for 2 years); or
- a SafePlus Onsite Assessment (Valid for 2 years); or
- Q-Safe Certification; or
- ISO 45001 Certification.

CATEGORY 2 – MEDIUM SIZED OR HIGHER RISK ACTIVITY SUPPLIER

A Cat 2 supplier:

- employs no more than 200 people;
- does not take on contracts with value in excess of NZ$20 million; and

- will not engage in a primary work activity defined in the Tōtika very high risk work activity list.

They may choose to engage in:

- a pre-qualification assessment with any Member Scheme (which will be valid for 1 year); or
- an ISO 45001 Certification.

CATEGORY 3 – LARGE SIZED OR VERY HIGH RISK SUPPLIER

A Cat 3 supplier:

- employs more than 200 people; and/or
- takes on contracts with value in excess of NZ$20 million and/or
- has a primary work activity defined in the Tōtika very high risk work activity list.

They may choose to engage in:

- a pre-qualification assessment with any Member Scheme; or
- an ISO 45001 Certification.

PRINCIPAL/LEAD CONTRACTORS AND PRINCIPAL/LEAD DESIGNERS

Suppliers who operate as lead or principal contractors or designers can be allocated to any supplier category. These suppliers must meet the supplementary requirements for lead/principal contractors/designers in addition to the relevant core requirements for their category.

HIGH RISK WORK ACTIVITY LIST

If the organisation selects any of the following as a main or primary work activity, they will be regarded as a minimum of a Cat 2 Supplier:

| |
|---|
| Abseiling/Rope Access |
| Arborist Services |
| Biohazards or Infectious Materials Services |
| Chemical Cleaning Services |
| Commercial Cleaning Services |
| Construction Rigger |
| Drain Laying Services |
| Drilling Services (Non-Hydrocarbon) |

Electrical services
Facilities Management Services
Forestry Silver culture
Glazing
Heavy Transport
Industrial Coating Services
Installation and Maintenance of Fire Systems
Installation and Servicing of Hydraulic Systems
Installation and Servicing of Lifts
Installation and Servicing of Plant and Equipment
Installation or Servicing of Pressure Vessels
Labour Hire Services
Mobile Plant and Equipment Servicing
Operated Mobile Plant & Equipment Hire Services
Passenger Transport
Quarrying Services
Recycling Services
Roofing Services
Sandblasting Services
Surface Mining Services
Traffic Management Services
Trenching Services
Waste Management Services

VERY HIGH RISK WORK ACTIVITY LIST

If the organisation selects any of the following as a main or primary work activity, they will be regarded as a minimum of Cat 3 Supplier:

Asbestos Removal
Building Relocation
Commercial Diving Services
Demolition Services
Drilling Services (Hydrocarbon)
Explosive Blasting Services
Fixed Wing Flight Services
Forestry Harvesting/Extraction Services
Fuel Supply or Storage
Gas Services (High Pressure)
Hazardous Substances Storage and Transport
Helicopter Flight Services
High Voltage Electrical Services
High Wall Quarrying Services
High Wall Surface Mining Services
Scaffolding Erection and Dismantling
Stevedoring/Marshalling Services
Mobile Crane Services
Tower Crane Services
Underground Mining Services

Figure 2: Supplier Categorisation Process Flow
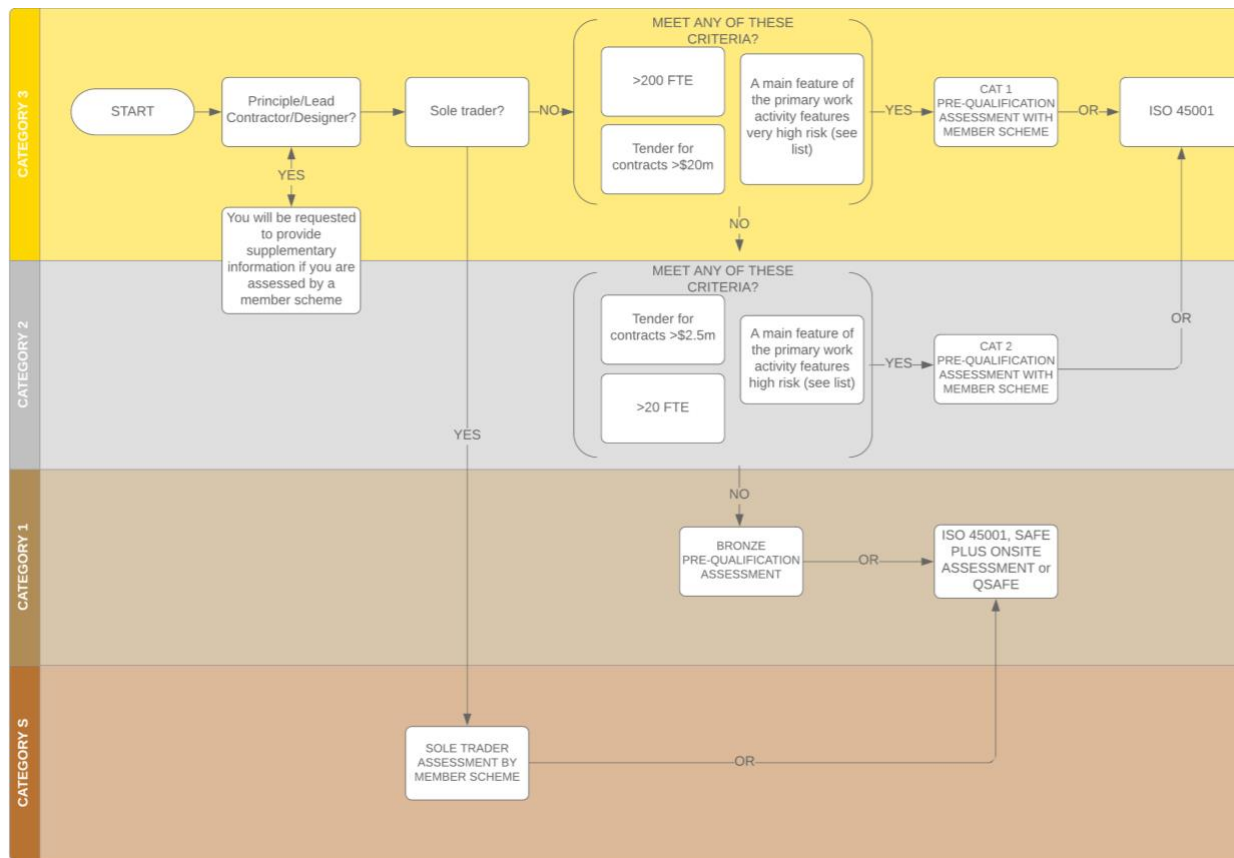
REQUIREMENTS FOR EVIDENCE OF MEETING CORE CRITERIA

All suppliers are expected to provide verifiable evidence that they meet the relevant core criteria. Where the type of evidence has not been explicitly defined (e.g. copy of specific document) the supplier can provide a form of evidence that is most practical e.g. photos, videos, examples, references, scans etc.

ASSESSMENT AGAINST THE CORE CRITERIA

Questionnaires have been included in the Questionnaire Guidance and Minimum Evidence Requirements Document. This provides Suppliers with an example of how they can demonstrate they meet the Core Criteria and examples of the evidence that can be provided.

The evidence provided should be of concise, practical examples relevant and proportionate to the type of activity your business is likely to carry out. Your evidence must demonstrate how your business meets the requirements.

PRIVACY OF INDIVIDUALS

All personal identification information that is not required to inform the assessment such as the name of the injured party on an accident report is to be removed or made unreadable in your examples before being provided to an assessor (e.g. injured party details on an accident report).

CROSS RECOGNISED AUDIT AND CERTIFICATION SCHEMES

Suppliers (as an alternative to engaging in a pre-qualification assessment with a Tōtika member scheme) may provide evidence of a recognised external assessment or certification.

Suppliers (once registered in the Tōtika portal) may upload a .pdf version of their certificate and report. Once uploaded, Tōtika will check the validity of the certificate directly with the auditor or certifying body.

Suppliers are responsible for uploading a new certificate and report before or on expiry of the previous version. If this is not done, the supplier will be removed from the listing until a new certificate is provided and verified.

For assessment or certification schemes to be recognised by Tōtika (other than our audited pre-qualification member schemes) they must be either:

- An ISO or NZ Standard (or working to achieving this within 12 months of recognition); or
- A scheme endorsed by a NZ regulator.

The following schemes are currently recognised by Tōtika as 'Performing – Assessed and fully meeting the requirements of the core criteria – score 100%' unless stated otherwise below:

Audit/certification scheme	Standard Accepted	Auditor requirements	Category of Supplier	Remarks
SAFE+	An onsite assessment graded: Performing or above (Tōtika will register 'developing' as 'Developing - Assessed, but not yet fully meeting the requirements of the core criteria' – score 60%).	Safe+ Accredited Assessor.	S & Cat 1	Supplier must be assessed every 2 years

Audit/certification scheme	Standard Accepted	Auditor requirements	Category of Supplier	Remarks
Q-Safe	Current certification	Accredited by an IAF Accreditation Body Member for Occupational Health and Safety Management Systems	S & Cat 1	Certificates must be updated every year to the portal
ISO 45001	Current certification	Accredited by an IAF Accreditation Body Member for Occupational Health and Safety Management Systems	Cat 2 & 3	Certificates must be updated annually to the portal Management systems not scoped solely within NZ must demonstrate that a certification/surveillance audit of the NZ operation will be carried out at least annually and will sufficiently cover the entire NZ operation over a 3 year period.

Audit/certification scheme	Standard Accepted	Auditor requirements	Category of Supplier	Remarks
BS OHSAS 18001	Current certification	Accredited by an IAF Accreditation Body Member for Occupational Health and Safety Management Systems	Cat 2 & 3	Certificates must be updated annually to the portal. Management systems not scoped solely within NZ must demonstrate that a certification/surveillance audit of the NZ operation will be carried out at least annually and will sufficiently cover the entire NZ operation over a 3 year period. Only existing certifications will be accepted until 30th September 2021.
AS/NZS 4801 for Class A Asbestos Removalists ONLY	Current Certification	A specifically accredited JAS-ANZ certification body	Cat 3	The is a regulated requirement under HASAWA 2015 (Asbestos Regulations) 2016. ISO 45001 certification will be required from 31 July 2023.
Medical & Nursing Practitioners	Listed on the register of Practicing Nurses or Practitioners or similar	Nursing Council or similar	Sole Trader Only	Certificate uploaded to dashboard on renewal.

Audit/certification scheme	Standard Accepted	Auditor requirements	Category of Supplier	Remarks
Maritime Operator Safety System (MOSS)	Completed a MOSS audit in line with Maritime Transport Operator Certificate (MTOC) Plan	Maritime NZ auditor	Any	Supplier must upload a copy of their MTOC Plan and evidence of their most recent MOSS Audit. Expiry will be the due date of next MOSS Audit.
Safetree Certified Contractor	Appears on the Safetree Certified Contractor Register	Safetree appointed field auditor	Any	Upload certificate or Tōtika can check the register directly.