

Question 1 - Insurance

What insurances does your company hold?

To show that you have adequate insurance in place for the type of work that you undertake. Insurance types can include vehicle, public liability, professional indemnity, general or other business insurance.

Please provide copies of your current insurance (certificates of currency). These must include the following information:

- Your company name
- The period of insurance including expiry date

NB - Invoices only, without associated certificates of cover cannot be assessed.

NB - All evidence must be current at the time of submission to obtain full marks.

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

Question 2 - H&S Management

Please provide a copy of your company's Health & Safety Policy and procedures, or evidence of relevant external certification.

To show that you have a policy and procedures in place to manage the health and safety of your workplace, or have relevant external certification of your health and safety management system (manual).

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

Option 1 - Health and safety policy statement and procedures that align to The Health and Safety at Work Act 2015

Your health and safety policy, that has been signed by an officer of your company within the last 24 months, **AND** the following procedures from your company's health and safety management system (manual).

- Worker engagement (**not required for sole operators**)
- Hazard and risk management (this must include how risk is assessed)
- Training and competency
- Emergency management
- Incident reporting and investigation (this must include a process for notifiable events)
- Hazardous substance management (if applicable)
- Contractor management (if applicable)

NB - An actual or time/date stamped electronic signature is required on the policy statement. If signed in another language, the written English name must also be provided.

NB - Your procedures must show that they have been reviewed within the last 24 months. These procedures should clearly show how each element is carried out by your company.

Option 2 - Relevant current external certification. Those accepted are listed below.

ISO 45001:2018 - current certificate required with most recent certification audit.

Q-Safe - current certificate required with most recent certification audit.

NB - If the required audit is not provided, or does not include reference to subconsultants, please submit evidence in question 5 or select the N/A option if this is not applicable to your business. Evidence for question 10 will also need to be provided.

NB - If you have one of the above accepted external qualifications, you still have the option to submit evidence in each question. This will be assessed as normal. Please let us know within the assessment if this is required.

NB - If ISO 45001:2018 certification is issued to an Australian-based company, any associated New Zealand business must be included in the scope of the certification, and accompanied by the New Zealand operations audit.

Question 3 - Involvement

How are workers involved in workplace health and safety?

To show how you as the PCBU involve workers in health and safety.

Worker involvement is not just about attending meetings. Involvement should show a **two-way** flow of information and communication.

Please provide the following evidence:

- **Two** examples from within the last **12** months that show how workers have been **involved** in workplace health and safety. Both examples must clearly show **who** they were.

Examples could include but are not limited to:

- Specific issues **raised by workers** in meetings. A record of attendance does not show involvement.
- **Involvement** in health and safety representative processes
- **Involvement** in the **assessment** of risk
- **Involvement** in **completing** investigations
- **Involvement** in **completing** workplace/equipment inspections. If used here, different examples should be submitted in question 8.
- **Involvement** in the **review** of hazard control
- **Involvement** in the **review** of emergency drills
- **Involvement** in the **review** of health and safety processes.

NB - The following are **not** accepted examples:

- Inductions
- Evidence of one-way communication such as one-way email, posters, noticeboards, other one-way information

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

Question 4 - Incidents

How do you record and investigate incidents and near misses?

To show you have a process to record and investigate incidents and near misses and have discussion with workers about these events.

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

Option 1 - Your company **has had** incidents and/or near misses within the last **12 months**.

- A copy of your incident register with **regular** entries to show the history of reporting incidents and near misses for the last **12 months**. This should include evidence of **review** within this timeframe.
- **One** example of a completed investigation that shows an attempt has been made to determine what the root cause or root causes were that caused the event to happen. It should also show what preventative actions were carried out to minimise the likelihood of the same event occurring again.
- Evidence that shows incidents, near misses, and the outcomes of any investigations have been communicated to workers at meetings. This can include evidence that a safety alert (or similar) has been communicated to workers. This **does not** include just noting that no incidents or near misses have occurred. **Please note that this element is not applicable to sole operators.**

NB - Evidence of review can include regular entries in the register for periods when no events occurred, **or** other documented evidence of review within the last **12 months**.

Option 2 - Your company **has not** had any incidents or near misses in the last **12 months**.

- A copy of your incident register with **regular** entries of no reporting for the last **12 months**, or evidence of review within this timeframe,
- **One** completed investigation within the last **24 months**, **OR two examples** of meeting records that show discussion with workers regarding reporting requirements and/or the importance of reporting. This **does not** include just noting that no incidents or near misses have occurred.

Sole operators only - A reviewed incident register for the last **12 months**.

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

NB - Evidence of review can include other documented evidence from the last 12 months.

Question 5 - Subconsultants

How do you manage subconsultants that you engage or manage?

To show that sub-consultants that are engaged or managed by your company are being prequalified and monitored.

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

Option 1 - Subconsultants engaged or managed within the last **12** months that **operate under their own health and safety systems**.

- **One** example of a completed prequalification from the last 12 months.
- **One** example of a completed review of a subconsultants work from the last 12 months.

NB - If the prequalification example is an internal document, it must show review and sign off by a representative of your company.

NB - Independent prequalification can be provided (SiteWise, Totika, Impac, ISO 45001, other for example). A **current** certificate or report is required.

NB - The review example must have been completed by your company as the main contracting PCBU. This could include post contract evaluations, or review of the completed work from a safety in design perspective (as applicable).

Option 2 - Labour-only (sole operator) subconsultant engaged or managed in the last 12 months.

- Evidence of competency or years of experience (this can include evidence of any current CPD requirements).
- **One** example of current training (certificate or training card for example).
- A completed induction, signed by both parties, **OR** evidence that they have signed to show they will be working under your health and safety systems.

NB - The evidence provided should all be for the same person.

NB - If you record your labour only subconsultants in your own training register, please ensure they are identified as such.

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

Question 6 - Training

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

To show that all workers are trained and assessed as competent (by you as the PCBU) to perform the work being undertaken.

Please provide the following evidence:

- A copy of your training and competency register that shows evidence of refresher training **and** a measure of competency or years of experience for all workers
- 2 - 3 examples of current training (certificates, training ID cards for example). This must include at least one example of current higher-level learning.

NB - Higher-level learning can include first aid (unit standard 6400), tertiary qualifications or recent CPD (as applicable).

NB - If first aid revalidation certificates are being provided, please also submit the original training certificates that include the unit standards.

Question 7 - Hazards & Risk

How do you record hazards and risks in your workplace?

To show that workplace hazards are being recorded, risk assessed, and controlled.

Please provide a copy of your master risk register that includes the following elements:

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

NB - As the requirement for this question is a master risk register, it should include hazards from all areas of the workplace. Workplaces can include offices, vehicles, sites where inspections are carried out or any other area where work is carried out. Consider also, the different hazard types, such as physical, ergonomic, chemical, biological, and psychosocial.

NB - **Site or location specific** registers will no longer be awarded full marks.

Question 8 - Inspections

What workplace and equipment inspections do you carry out?

To show that you, as the PCBU are monitoring conditions at the workplace and the condition of equipment for the purpose of preventing injury or illness, and that the results of this monitoring is communicated back to workers.

Please provide the following evidence:

- **One** example of a completed workplace inspection from within the last **12** months.
- **One** example of a completed vehicle inspection from within the last **12** months.
- **One** example of evidence that inspection results are communicated back to your workers as part of a meeting or as allocation of corrective actions. **Please note that this element is not applicable to sole operators.**

NB - If inspection examples were submitted in Q3, please submit different examples here.

NB - Examples can be those completed internally or by external agencies. They must show details of what was inspected.

NB - If corrective actions have been identified, evidence that these have been completed is also required.

Question 9 - High Risk Work

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

To show that the hazards and risk associated with high-risk work carried out by your workers (your employees, not your subconsultants) in the last 12 months is controlled and that workers accept the controls and have the relevant training.

In many situations this will not be applicable to consultancy companies. However, consider scenarios where your workers may have to carry out inspections from an elevated work platform such as a scissor lift or cherry picker. If this type of work or other high-risk work is being undertaken, please provide the following information:

- **One** example that shows how the hazards and risk associated with the high-risk work process are controlled
- Evidence of how the high-risk work process was communicated to **and** accepted by workers carrying out the work. This can include sign-off of the high-risk work example by the workers or evidence that the high-risk work example was discussed at a meeting. **Both will require actual or time/date-stamped signatures.**
- Evidence that those workers carrying out the high-risk work have the relevant training.

NB - The training evidence **should** current relevant higher level learning (as applicable).

NB - If the high-risk work is not undertaken by your own workers (employees) or has not been carried out in the last **12** months, please select the **not applicable** option. If this option is selected and there is contradictory evidence elsewhere in the assessment evidence, this will not be marked as such, and the assessor will provide explanatory comments.

Question 10 - Mental Health

How does your company ensure a mentally healthy workplace? (5 points)

To show that psychosocial risk has been recognised by your company as a source of potential harm.

Please provide the following:

- A policy statement or statement of intent regarding ensuring a mentally healthy workplace. This must have been signed by an Officer of the company within the last **24** months.

NB - The statement of intent can be included in your company health and safety policy.

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

Question 11 - Prosecutions

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

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

NB – improvement notices are not investigations.