

Question 1 - Insurance

10 points

What insurances does your company hold?

To show that you have adequate insurance in place for the type of work that you undertake.

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

15 points

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.

NZS 7901 - current certificate required with most recent certification audit.

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

Maritime Operator Safety System (MOSS) - current MTOC plan with most recent MOSS audit.

Operators of Aircraft - current aviation specific certification required (CAA rule or rules).

NB - If the required audit is not provided, or does not include reference to subcontractors, health monitoring or hazardous substances, please submit evidence in questions 5, 10, and 11, or select the N/A option if they are not applicable to your business. Please note that evidence will also be required for question 12, as this is not typically included in the external certifications.

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

10 points

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. If meeting records are provided they must clearly show evidence of discussion and **who** was involved.

Examples could include but are not limited to:

- **Involvement** in health and safety representative processes
- **Involvement** in the **assessment** of risk
- **Involvement** in **completing** investigations
- **Involvement** in **completing** workplace/equipment inspections
- **Involvement** in the **review** of hazard control
- **Involvement** in the **review** of emergency drills
- **Involvement** in the **review** of health and safety processes
- Specific issues **raised by workers** in meetings

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

20 points

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 - Sub-contractors

15 points

How do you manage subcontractors/contractors that you engage or manage?

To show that sub-contractors/contractors 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 - Subcontractors/contractors engaged or managed within the last **12** months that **operate under their own health and safety systems**.

- **One** example of a completed prequalification.
- **One** example of a completed check/inspection of a subcontractor's **physical** work.

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 check/inspection example must have been completed by your company as the main contracting PCBU.

NB - If the work undertaken is not of a physical nature (**consultancy or office work only**), a post contract review can be used as the check/inspection example.

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

- A copy of their training register that includes a measure of competence or years of experience.
- **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 subcontractors in your own training register, please ensure they are identified as such.

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

Question 6 - Training

15 points

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
- A couple of examples of current training (certificates, training ID cards, certifying licenses for example). This must include at least one example of current higher-level learning.

NB - Higher-level learning can include training recommended by codes of practice, such as MEWP, harness systems, confined space, driver license endorsements, first aid (unit standard 6400), NZQA level 3 or above, trade qualifications and/or other qualifications.

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

25 points

How do you record hazards and risks in your workplace?

To show that workplace hazards are being recorded, 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, workshops, warehouses, vehicles, mobile plant, 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

15 points

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 result 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 equipment 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 - Workplaces can include offices, workshops, warehouses, vehicles, mobile plant, or any other area where work is carried out.

NB - If you are **office based only**, please provide **one completed workplace inspection and one completed vehicle inspection**

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

15 points

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

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

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

Option 1 - High-risk work that is **NOT NOTIFIABLE** to Worksafe.

- **One** completed high-risk work example that shows how the job was carried out and how the associated hazards were controlled.
- Evidence of how the controls were communicated to **and** accepted by workers carrying out the work. This can include sign-off of the work example by the workers or evidence that the 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.

Option 2 - High-risk work that is **NOTIFIABLE** to Worksafe.

- **One** completed notifiable work example that shows how the job was carried out and how the associated hazards were controlled.
- Evidence of how the controls were communicated to **and** accepted by workers carrying out the work. This can include sign-off of the work example by workers or evidence that the work example was discussed at a meeting. **Both will require actual or time/date-stamped signatures.**
- Evidence that those carrying out the notifiable work have the relevant training.
- A copy of the associated notification to WorkSafe.

NB - Worker **names and signatures** are required to be able to validate any training provided.

NB - The training evidence **should** show applicable current higher-level training (certificates, training cards, or licenses for example).

NB - If high-risk or notifiable work is not undertaken by your own workers, please select the **not applicable** option. If you choose this option, and there is contradictory evidence elsewhere in the assessment, this will not be marked as such, and the assessor will provide explanatory comments.

Question 10 - Health Checks

15 points

How do you monitor the health of workers who are, or may have been exposed to workplace health hazards?

To determine if workers are experiencing health effects from potential workplace exposures. Health monitoring can also confirm that control measures are preventing harm. You will need to know if the health hazards exceed the Workplace Exposure Standards (WES) and Biological Exposure Indices (BEI):

**Please click [here](#) to access the WES and BEI from WorkSafe.*

If you are not certain if this is applicable to your business, we recommend that you contact an occupational hygienist for expert advice.

Evidence of regular monitoring is required. The evidence provided must show that your company as the PCBU has conducted monitoring. To show this please provide any of the following evidence:

- A report, letter, or document from a health monitoring provider that shows pre-employment (baseline) and/or regular testing has been carried out. If the evidence states that the testing is baseline only, it will be marked as such.
- Reports, letters, or documents from two occurrences of testing (*this will be dependent of your monitoring frequency*) from a health monitoring provider.

NB - If you believe that the indices/standards are not exceeded, please provide an in-depth risk assessment that has been completed by a suitably qualified person (Occupational Hygienist). Also, if you chose not applicable, and there is contradictory evidence elsewhere in the assessment, this will not be marked as such, and the assessor will leave explanatory comments.

NB - Names of personnel tested can be redacted for privacy reasons.

NB - If invoices are being submitted, they must clearly show what health monitoring has been carried out (hearing, lung function for example).

NB - If you are submitting a booking confirmation, please select the '**other**' option. Bookings only will be accepted once. Subsequent years should be able to show that baseline monitoring as a minimum has been completed.

NB - **Sole Operators** can select the **not applicable** option for this question. Although this question is N/A for sole operators, it is recommended that as workers, they consider regular health monitoring also.

NB - As a PCBU, if you require your workers to use respiratory protective equipment (RPE), you must ensure that the RPE is fitted correctly for each worker by conducting fit testing. This ensures that workers are wearing proper fitting RPE. Although fit testing is required, please note that it **IS NOT** health monitoring, and does not need to be submitted as evidence for this question.

Question 11 - Haz Substances

20 points

If you use or store hazardous substances, products or materials, please provide evidence of how you manage this aspect of your business?

To show that you effectively manage the hazardous substances that you **use or store** in your workplace.

Please provide the following evidence:

- A copy of your hazardous substances inventory that shows review within the last 12 months.
- A couple of examples of current safety data sheets (no older than 5 years).
- Evidence that you have procedures in place for hazardous substances (SOP, task analysis or similar).
- Evidence that workers have relevant training for hazardous substances (could include formal or informal training).

NB – Please note that safety data sheets should be NZ versions where possible.

NB – If you select not applicable, and there is contradictory evidence elsewhere in the assessment, this will not be marked as such.

NB – Please note that the regulations require specific information to be recorded in an inventory. Not including all the elements may result in a lowered score. Please refer to the following link for what is required - [here](#).

Question 12 - Mental Health

5 points

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 - The evidence in this question is not covered by external certifications.

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

Question 13 - Prosecutions

0 points

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.