



CORE CRITERIA AND ASSESSMENT STANDARD

19 July 2024 – VERSION 3.1.2

AMENDMENTS

| Version | Date | Name | Details |
|---------|------------------|----------------|--|
| 0.1 | 5 June 2020 | J Harper-Slade | Final exposure draft |
| 0.2 | 23 June 2020 | J Harper-Slade | Minor typing errors and omissions. |
| 1.0 | 1 July 2020 | J Harper-Slade | Removal of LB55 |
| 1.1 | 11 August 2020 | J Harper-Slade | Removed references to ConstructSafe, ensuring information relating to H&S knowledge assessment relates to the relevant industry guidance. |
| 1.1.1 | 16 December 2020 | J Harper-Slade | Corrected minor referencing errors. Removed MB34 as a duplicate Expanded some acronyms and abbreviations Document review periods set to annually for MB and LB sections. |
| 1.1.2 | 28 April 2021 | J Harper-Slade | Highlighted and separated construction specific requirements from general requirements. |
| 2.0 | 23 August 2021 | J Harper-Slade | Added suggested anchors for standardised scoring Corrected minor errors Further clarified separate construction supplier requirements Removed mandatory requirement to cascade Tōtika into supply chains |
| 2.1 | 15 October 2021 | J Harper-Slade | Added definition of Principal Contractor and Principal Designer . Included descriptions of Client responsibilities (<i>PC04 and PD05</i>). Clarified process for establishing a reasonable score for a supplier achieving a 'Developing' grading through a SafePlus Onsite Assessment (<i>First section of Core Requirements for Sole Traders and Cat 1 Suppliers</i>) |
| 2.2 | 1 November 2021 | J Harper-Slade | Re-branded document |
| 3.0 | 4 Mar 2022 | J Harper-Slade | Combined with Core Requirements document (which is now superseded) Removed clause ST4 from Sole Trader requirements and placed in Cat 1 requirements as SB4. SB numbers changed after SB4. Removed redundant clause in Cat 2 requirements so MB numbering adjusted. Fixed/changed reference numbers allowing for changes to tables. |

| | | | |
|--------------|---------------|--------------------------------|--|
| 3.1 | 31 March 2023 | J Harper-Slade | <p>Added new clauses in all Categories for Mental Health and Suicide Prevention programmes: (ST12, SB21, MB36, LB36 – MB and LB changes are Construction Contractors Only)</p> <p>Amended requirement around competent H&S advice (Clauses SB4, MB8). Adjusted the criteria to make it easier for businesses to score a 3 (i.e., meet the standard). Clauses LB9 & PC05 have not been adjusted.</p> <p>Changed from Principal Designer to Designer and adjusted the definition to align with Worksafe NZ guidance (P142).</p> |
| 3.1.1 | 19 Feb 2024 | J Harper-Slade | <p>LB8: Changed requirements for 3 and 4 around</p> <p>MB36: adjusted to ensure those with no mental health/wellbeing occurrences can score 3.</p> |
| 3.1.2 | 19 July 2024 | Member Schemes' Assessor Group | <p>MB4 and LB4: Text added to standard to speak to requirement for policy/procedure</p> <p>MB36 and LB36: Mates4Life has been added as an e.g. of a suicide intervention programme suitable for construction contractors. Also added a note for assessors.</p> <p>SB4: Highlighted that the person providing H&S advice does not need to have professional accreditation.</p> <p>MB17 and LB17 Wording updated to be clearer on expectations</p> <p>Subcontractor section header (Page 76 & 121) updated to be clearer on who it applies to.</p> |

TABLE OF CONTENTS

| | |
|---|------------|
| AMENDMENTS | 1 |
| TABLE OF CONTENTS | 3 |
| INTRODUCTION | 4 |
| QUESTIONNAIRE GUIDANCE & MINIMUM EVIDENCE REQUIREMENTS FOR SOLE TRADERS | 5 |
| QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 1 SUPPLIERS | 17 |
| GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 2 SUPPLIERS | 44 |
| QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR CATEGORY 3 SUPPLIERS | 90 |
| QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR PRINCIPAL CONTRACTORS (CONSTRUCTION SECTOR ONLY) | 135 |
| DEFINITION | 135 |
| QUESTIONNAIRE GUIDANCE AND MINIMUM REQUIREMENTS FOR DESIGNERS (CONSTRUCTION SECTOR ONLY) | 143 |
| DEFINITION | 143 |

INTRODUCTION

The core criteria represent the minimum requirements suppliers must demonstrate to be listed with Tötika.

Member schemes shall ensure that their own assessment processes and questionnaires meet the core criteria as a minimum standard. Member scheme approaches may vary, and some may wish to exceed the requirements of the core criteria.

Member schemes shall apply the standardised scoring process defined in the member scheme standard. Suppliers must meet every element of the applicable core requirements to be graded as Performing; otherwise, the supplier is graded as Developing regardless of the score applied.

Member scheme assessors are to pay particular attention to the requirements in the member scheme standard around special consideration for assessments of small businesses. Although certain small businesses with primary work activities classified as high or very high risk will be required to meet higher categories of core requirements, they will not necessarily need to provide the comprehensive documentary evidence expected of a larger, more complex business. Small businesses may be able to demonstrate how they meet the core requirements in other ways that work for organisations with fewer employees.

QUESTIONNAIRE GUIDANCE & 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”.

The frequency of assessment for Sole Traders is 2 years.

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------------------|---|--|--|---|
| | Alternate Certification or assessment | <p>See scheme rules (Page 15) for full description of external certification and assessment criteria.</p> <p>IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED</p> | <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 certification • ISO45001 certification • SafePlus onsite assessment | <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. Developing, Performing or Leading for SafePlus <p>Copy of certificate and report issued by third party assessor (Note: Safe Plus issues a report only)</p> | <p>Supplier can upload evidence directly into the Tötika through their supplier dashboard.</p> <p>If minimum evidence is met the supplier is graded and scored as follows:</p> <p>Current Q-Safe certification</p> <p>Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit.</p> <p>Current ISO 45001 certification</p> <p>Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit.</p> <p>SafePlus Onsite Assessment - Graded as Performing or Leading</p> <p>Graded 'Performing', Score 100%. Expiry is 2 years from assessment date.</p> <p>SafePlus Onsite Assessment - Graded as Developing</p> <p>Graded 'Developing', Maximum Score: 60%. A conversation with the assessor will be undertaken to establish a reasonable score appropriate to the supplier's assessment performance.</p> <p>Expiry is 2 years from assessment date.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------|------------------------|---|---------------------------------|--|--|
| 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. | 0 – No references provided 1 – One reference provided 2 – Two references provided but not for work completed in the last five years and/or not independent of each other and/or have too close a relationship to the assessed party to be independent. 3 – See details and minimum evidence requirements elements. 4 – References provide a strong independent account of how the assessed party is enhancing safety through their work. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------|---|---|--|--|
| 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) | 0 – Could not state who is responsible 1 – Solely states the responsibilities of those upstream to them 2 – Solely states their own obligations, but cannot state the obligations of others. 3 – See details and minimum evidence requirements elements. 4 – Provides supplementary evidence demonstrating how they take responsibility for their H&S whilst onsite. |
| 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. | 0 – Cannot articulate how H&S issues are resolved. 1 – Can only provide an account of one mechanism to resolve issues. 2 – Can state two ways in which they resolve issues. 3 – See details and minimum evidence requirements elements. 4 – Provides evidence of how they have successfully resolved a recent H&S issue with a client. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------------------------|----------------------------|--|---|---|---|
| HAZARDS, RISKS, AND CONTROLS | | | | | |
| ST4: | 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. | <p>0 – no evidence provided</p> <p>1 – Demonstrates an understanding of one appropriate action.</p> <p>2 – Demonstrates an understanding of two appropriate actions.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to provide a recent example where a hazard/risk was identified and suitably responded to.</p> |
| ST5: | 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 ST05.</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> | <p>0 – no evidence provided</p> <p>1 – Can demonstrate an understanding of the documentation that may be produced, but can't demonstrate how it is practically applied to work.</p> <p>2 – Articulates some understanding of practically applying suitable controls to manage a risk.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Recent evidence of a suitable and sufficient safe system of work, that the sole trader helped develop and has applied.</p> <p>Or n/a</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--|---|---|---|--|
| ST6: | 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" . | Description of isolation process should include similar to the following: <ul style="list-style-type: none"> • tagged/locked out • testing for zero energy state • process for removal • responsibility | 0 – no evidence provided 1 – Able to demonstrate an understanding of one element of the isolation process 2 – Able to demonstrate an understanding of two elements of the isolation process 3 – See details and minimum evidence requirements elements. 4 – Provides evidence of an implemented safe isolation process/procedure for their equipment or machinery. Or n/a |
| ST7: | 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" . | Description of maintenance, testing and/or calibration of equipment. Should include similar to the following: <ul style="list-style-type: none"> • items being tested/inspected outlined • checks/inspections are undertaken • frequency defined • indicates tester i.e. internal/external. | 0 – no evidence provided 1 – Can demonstrate a partial understanding of this element with no account of how they apply it. 2 – Can demonstrate a partial understanding and application of this element. 3 – See details and minimum evidence requirements elements. 4 – Can provide a documented plan for maintenance/checking/testing/repair/calibration of their work equipment Or n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--------------|--|---|--|--|
| INCIDENTS | | | | | |
| ST8: | 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. | 0 – no evidence provided 1 – Can demonstrate a partial understanding of this element with no account of how they apply it. 2 – Can demonstrate a partial understanding and application of this element. 3 – See details and minimum evidence requirements elements. 4 – Evidence provided of how they recently reported an incident to an external party. |
| ST9: | 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. | 0 – no evidence provided 1 – Can demonstrate a partial understanding of this element with no account of how they apply it. 2 – Can demonstrate a partial understanding and application of this element. 3 – See details and minimum evidence requirements elements. 4 – Evidence provided of a process or procedure that ensures appropriate external notifications are made. Or n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--------------------------------|--|--|---|--|--|
| TRAINING AND COMPETENCE | | | | | |
| ST10: | 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>Construction</p> <p>Trader shall have completed foundational H&S training at least once and must have completed an independent Foundation H&S Knowledge Assessment (see industry guidance)</p> | <p>0 – no evidence of H&S training provided</p> <p>1 – Evidence of H&S training, but not in the last 5 years</p> <p>2 – Evidence of H&S training, but not in the last 3 years</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides a verifiable training and competency record that includes H&S training at least once in the last 2 years.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------------------|--|--|---|--|
| ST11: | 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" . | The activities that the Sole Trader undertakes should be reviewed and any licensing and/or certification requirements established. If any are required, the following should be provided: <ul style="list-style-type: none"> a copy of the current licence/certification and expiry date | <p>0 – no evidence provided</p> <p>1 – Shows a basic level of technical training for their trade/occupation, but nothing within the last 5 years or licence has expired.</p> <p>2 – Shows a basic level of technical training for their trade/occupation, but nothing within the last 3 years.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides a comprehensive set of evidence demonstrating currency of professional skills, training, experience, aptitude, and knowledge.</p> <p>Or n/a</p> |

| HEALTH AND WELLBEING | | | | | |
|----------------------|--------------------------------------|--|---|---|---|
| ST12: | Mental Health and Suicide Prevention | Trader shows an understanding of the impact mental health and suicide on their work and can demonstrate knowledge of where to seek help. | <p>Explain your understanding of the importance of mental health and wellbeing?</p> <p>Do you know where you can seek help for mental health?</p> | <p>The trader is able to articulate the importance of good mental health and shows an understanding of the impact of poor mental health.</p> <p>The trader is able to identify at least one source of support available to them.</p> <p>Available support listed here: https://mates.net.nz/get-help/</p> | <p>0 – no awareness of mental health issues in their industry.</p> <p>1 – Has a limited understanding of mental health issues, but cannot recall where they would seek help.</p> <p>2 – Either demonstrates an understanding of mental health issues in their industry or can reference a source of help, but not both.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides evidence of personal training on mental health (e.g. MATES in Construction, A-OK ASIST, Mental Health First Aid or similar..</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|------------------------------------|----------------------------|--|---|--|----------------------------------|
| 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> <p>https://www.courtsofnz.govt.nz/judgments</p> | Not applicable |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--------------------|--|---|--|----------------------------------|
| 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> | Not applicable |
| 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> | Not applicable |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|--|--|--|----------------------------------|
| 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: https://www.courtsofnz.govt.nz/judgments</p> | Not applicable |
| 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> | Not applicable |

QUESTIONNAIRE GUIDANCE & 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”.

The frequency of assessment for Cat 1 Suppliers is 2 years.

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------------------|---|---|--|---|
| | Alternate Certification or assessment | See scheme rules (Page 15) for full description of external certification and assessment criteria. IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED | Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments? <ul style="list-style-type: none"> Q-Safe certification ISO45001 certification SafePlus onsite assessment | If yes, the following must be provided: <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. Developing, Performing or Leading for SafePlus Copy of certificate and report issued by third party assessor (Note: Safe Plus issues a report only) | Supplier can upload evidence directly into the Tōtika through their supplier dashboard. If minimum evidence is met the supplier is graded and scored as follows: Current Q-Safe certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit. Current ISO 45001 certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit. SafePlus Onsite Assessment - Graded as Performing or Leading Graded ‘Performing’, Score 100%. Expiry is 2 years from assessment date. SafePlus Onsite Assessment - Graded as Developing Graded ‘Developing’, Maximum Score: 60%. A conversation with the assessor will be undertaken to establish a reasonable score appropriate to the supplier’s assessment performance. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------|---|--|---|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------------------|--------------------------|--|--|--|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p> |
| H&S PROCEDURES | | | | | |
| SB3: | Documented procedures | The organisation shall state if they have 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> | <p>0 – no documented procedures</p> <p>1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document.</p> <p>2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation).</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------|---|---|---|--|
| SB4: | 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? 3. Where do you source reliable H&S information? | Provides a name of a person providing you with H&S advice (may be internal or external). That person does not need to be a practitioner or professional member of a HASANZ member organisation. Able to show a source of reliable H&S information and recent evidence of using that information source to guide policy or practice. | 0 – no evidence provided 1 – Able to name a reliable information source, but unable to show it being used. No evidence of internal or external competent H&S advice. 2 – Able to name a reliable information source, and able to show an example of it being used. No evidence of internal or external competent H&S advice. 3 – See details and minimum evidence requirements elements. 4 – Name of person who provides H&S advice (that is a Practitioner or Professional level with a HASANZ member organisation) and can show the frequency at which they obtain advice. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-----------------------------------|---|---|--|--|
| SKILLS, TRAINING, COMPETENCY, AND SUPERVISION | | | | | |
| SB5: | 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, 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> | <p>0 – no evidence provided</p> <p>1 – Only basic training records are held.</p> <p>2 – Training register supplied that does not appear current or does not sufficiently detail what is needed and what is held.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – A comprehensive training and competency register that is current. The register shall cover training, skills, experience, and knowledge required for every role. Training certificates shall be held against each employee. It shall be clear from the register what level of competence/capability an individual needs against what they have, with a clear indication of their currency.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------------------|---|---|--|--|
| SB6: | Induction | <p>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> | <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 SB3.</p> <p>Training register supplied above shows induction training has been completed.</p> <p>Two most recently completed inductions.</p> | <p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p> |
| SB7: | Foundation training and assessment | <p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p> | <p>Have your workers completed foundation health and safety training (e.g. Hazardco H&S Fundamentals, Impac H&S Foundations, Besafe Foundation Toolbox, Site Safe Passport, in-house training etc.).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment (ConstructSafe or equivalent)? “NA Possible”</p> | <p>Training register supplied above shows foundation level training has been completed.</p> <p>Construction contractor/supplier 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> | <p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------------|--|--|---|--|
| SB8: | 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> | <p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|--|---|--|---|---|
| EVENT REPORTING, RECORDING, AND INVESTIGATION | | | | | |
| SB9: | 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 SB3.</p> <p>Two most recent event/incident report examples provided.</p> | <p>0 – no evidence provided</p> <p>1 – Reporting is evident but not follow-up/learning/investigation.</p> <p>2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Business has a confidential reporting process for all workers, with evidence that it is implemented an operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents.</p> |
| SB10: | 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> | <p>0 – no evidence provided</p> <p>1 – There is a process, but evidence of investigations being carried out.</p> <p>2 – Some incidents are investigated.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Investigations documented and undertaken by a person trained and competent in investigations.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------|--|---|--|---|
| SB11: | 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. | 0 – no evidence provided 1 – n/a 2 – n/a 3 – See details and minimum evidence requirements elements. 4 – n/a |
| SB12: | 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. | 0 – no evidence provided 1 – Policy or process exists, but no evidence it is done 2 – Policy or process exists, no recent evidence this is done 3 – See details and minimum evidence requirements elements. 4 – Workers involved in developing and implementing improvements. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|----------------------|---|---|--|---|
| EMERGENCY MANAGEMENT & RESPONSE | | | | | |
| SB13: | 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 SB3. Should cover general emergencies such as fire, earthquake, medical event, tsunami (if relevant), verbal or physical assault (if relevant), bomb threat (if relevant). | <p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p> |
| COMMUNICATION, ENGAGEMENT, AND PARTICIPATION | | | | | |
| SB14: | 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? | <p>Documented procedure or process supplied. Or procedure/HSMS reference if supplied in SB3.</p> <p>Participation process appropriate to nature of organisation.</p> | <p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------|---|--|---|--|
| SB15: | Meetings | The organisation shall show that they hold regular 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>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation):</p> <ul style="list-style-type: none"> • At start of every job (prestart); • Daily; • Weekly; • Fortnightly; • Monthly; • Other. | <p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|--|--|---|--|--|
| HAZARD/RISK IDENTIFICATION AND PROVISION OF EFFECTIVE CONTROLS | | | | | |
| SB16: | 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. | <p>Documented procedure supplied. Or procedure/HSMS reference if supplied in SB3. The procedure should cover how both physical environment hazards/risks and also those associated with work activities are dealt with.</p> <p>Copy of hazard/risk register.</p> <p>Copy of a Job Safety Analysis (JSA), Task Analysis (TA), Standard Operating Procedure (SoP), or Safe Work Method Statement (SWMS) or similar for work activity. "NA Possible"</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------------|---|--|--|---|
| SB17: | 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care. |
| SB18: | 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------------------------|---------------------------------------|--|---|---|---|
| SB19: | 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 SB3. And/or description shows that appropriate PPE is provided, checked/maintained and workers are trained in use. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities. |
| HEALTH AND HEALTH MONITORING | | | | | |
| SB20: | 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 SB3. 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--------------------------------------|--|---|---|--|
| SB21: | Mental Health and Suicide Prevention | The business can demonstrate that mental health has been identified as a risk to people's health and that reasonable steps have been made to inform the workforce and connect them to sources of information and support where needed. | <p>How does your organisation demonstrate the importance of mental health and wellbeing?</p> <p>How do you help your people access information and support on mental health issues?</p> | <p>Documentation or similar explaining the business's approach to protecting the mental health and wellbeing of its people.</p> <p>Evidence showing examples of information, instruction or training provided to people (e.g. Mates General Awareness Training)</p> | <p>0 – no evidence that mental health risk is addressed.</p> <p>1 – Limited evidence that mental health is addressed..</p> <p>2 – Either demonstrates mental is addressed through policy or risk assessment or can show how people are informed, but not both.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provides evidence that all people have attended recognised mental health training (e.g. MATES in Construction, A-OK ASIST, Mental Health First Aid or similar..</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--------------------------------------|---|--|---|---|---|
| HEALTH AND SAFETY INSPECTIONS | | | | | |
| SB22: | Work site health and safety inspections processes | The organisation shall have documented processes that detail how work locations 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 SB3. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity.</p> |
| SB23: | Frequency of inspections | The organisation shall demonstrate how often 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? “NA Possible” if only office work environment | <p>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation):</p> <ul style="list-style-type: none"> • At start of every job (prestart); • Daily; • Weekly; • Fortnightly; • Monthly; • other. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|-------------------------------|---|---|--|--|
| SUB-CONTRACTORS (NOTE THIS SECTION APPLIES TO SUBCONTRACTING ORGANISATIONS NOT SOLE TRADERS) | | | | | |
| SB24: | 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 SB3. 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes. |
| SB25: | 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements supplier is able to demonstrate that all sub-contractors are listed with Tōtika. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---|---|---|--|--|
| SB26: | 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, Job Safety Analysis (JSA), Task Analysis (TA), Safe Work Method Statement (SWMS), Site Specific Safety Plan (SSSP), review etc. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------|---|---|--|--|
| SB27: | 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>This will typically take the form of physical works inspection, behavioural observation, or assessment against a Job Safety Analysis (JSA), Task Analysis (TA), Safe Work Method Statement (SWMS), Site Specific Safety Plan (SSSP) review (or similar).</p> <p>Frequency and reasoning described in line with the following (and viewed as appropriate for the nature of the operation): daily, weekly, fortnightly, monthly, other.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------|-------------|--|---|--|---|
| PLANT & EQUIPMENT | | | | | |
| SB28: | 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 SB3. 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------------------|------------|--|---|---|---|
| HAZARDOUS SUBSTANCES | | | | | |
| SB29: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Documented procedure/process supplied. Or procedure/HSMS reference to information if supplied in SB3. Must include: <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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of:</p> <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------|--|--|---|---|
| SB30: | 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------------------------|--|---|---|---|
| SB31: | 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> <p>May be covered in SB27 or there is a description how this is done</p> <p>Must provide a description of how hazardous substances are appropriately labelled.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements:</p> <ul style="list-style-type: none"> • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance • The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------------|---|--|--|---|
| SB32: | 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. | <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 SB4 if this contains the records. Alternatively provide records for a sample of workers (2). | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> • Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. • Information on all hazardous substances the worker is likely to be exposed to • Physio-chemical and health hazardous of those substances • Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance • Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance • Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 • The actions taken in an emergency involving a hazardous substance • The PCBU should have a training matrix detailing records of training and instruction given to each worker • Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|------------------------------------|----------------------------|--|---|---|----------------------------------|
| H&S PERFORMANCE HISTORY | | | | | |
| SB33: | 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> | n/a |
| SB34: | 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> | n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------|--|--|---|----------------------------------|
| SB35: | 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> | n/a |
| SB36: | 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> | n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|---|--|--|----------------------------------|
| SB37: | 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> | n/a |

GUIDANCE & 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”.

The frequency of assessment for Cat 2 Suppliers is every year.

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------------------|---|--|---|---|
| | Alternate Certification or assessment | <p>See scheme rules (Page 15) for full description of external certification and assessment criteria.</p> <p>IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED</p> | <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"> • ISO45001 certification | <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. Developing, Performing or Leading for SafePlus <p>Copy of certificate and report issued by third party assessor</p> | <p>Supplier can upload evidence directly into the Tötika through their supplier dashboard.</p> <p>If minimum evidence is met the supplier is graded and scored as follows:</p> <p>Current ISO 45001 certification</p> <p>Graded 'Performing', Score 100%. Expiry is 1 year from last surveillance/certification audit.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|----------------------------------|------------|---|---|--|---|
| LEADERSHIP AND COMMITMENT | | | | | |
| 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 annually, 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 | <p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--------------------------|--|---|--|--|
| 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? | <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> | <p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p> |
| 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? | <p>Describe what H&S accountabilities are applied to management roles in the organisation and how this is done.</p> <p>Identify the most senior manager and their role with overall accountability for H&S</p> <p>Provide two different examples of job descriptions (or similar) with specific H&S requirements included.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates all governance and leadership roles within the organisation have specific responsibilities and accountabilities for H&S, including specific objectives linked to their performance and remuneration.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|--|---|--|--|
| 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? | <p>Provide evidence of a procedure or process that demonstrates how H&S issues are raised and dealt with in your business; or</p> <p>Describe an issue your business managed that demonstrates your approach to managing H&S related issues. The description should include:</p> <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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation has included a feedback loop mechanism to an implemented confidential H&S reporting system.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------------|---|--|---|--|
| 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? | <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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements this is supported by at least two concurrent safety climate surveys (separated by 12 week periods) showing that worker perceptions of management commitment to safety are good.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|--|---|---|--|
| 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? | 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: <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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements can demonstrate how the wellbeing, health, and safety of all people affected are an integrated consideration on all senior management and board decisions. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|----------------------------------|--|--|---|---|
| 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? | 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. Further sections require evidence of specific documented processes to be provided. | <p>0 – no documented procedures</p> <p>1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document.</p> <p>2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation).</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------------|--|--|---|---|
| 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>Construction contractor/supplier</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 (if any) <p>Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – As above but internal/external H&S advisor Advisor/s hold at least a Professional level (or equivalent) membership of a recognised health and safety registration body in NZ (that body must be a HASANZ member body or international equivalent).</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------|---|---|---|---|
| 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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how it prioritises expenditure on operational health and safety. The organisation shall also demonstrate budget for supporting worker mental health and wellbeing.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------------------|--|--|---|--|
| 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>Construction contractor/supplier</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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how front-line workers contribute to the development of site or project specific plans.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------------------|--|---|---|--|
| 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? | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how methodologies such as learning teams, appreciative inquiry, HOP, HPE or similar are used to engage front-line workers in improvement processes.</p> |
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a H&S strategy developed that shows allocation of responsibility and accountability outside of the H&S team/advisor roles.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--|--|---|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how H&S performance is monitored using methods other than injury frequency rates.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------|---|--|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how top management are engaged in formerly reviewing the HSMS at least annually.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-----------------------------------|---|---|---|---|
| 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 • | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how in-field verification of skill is applied.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------------------|---|---|--|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p> |
| MB17: | Foundation training and assessment | <p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p> | <p>Have your workers completed foundation health and safety training of any kind (this can be in-house or externally delivered).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment in line with industry guidance?</p> <p>“NA Possible”</p> | <p>Training register (supplied as evidence for MB14) foundation level training has been completed.</p> <p>Construction contractor/supplier Training or competency register show that a foundation knowledge assessment has been carried out.</p> <p>If you use an external training provider there must be a degree of independence between the training provider and the assessment to show the conflict of interest is being appropriately managed.</p> | <p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--|---|---|---|--|
| MB18: | Hazardous Work Training, Licenses and Certifications | The organisation shall provide evidence that all workers who are 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. | <p>Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications?</p> <p>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.</p> <p>“NA Possible” if hazardous work not undertaken</p> | <p>Describe the following:</p> <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 <p>Training register supplied above shows specialist training has been completed.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows an example of how hazardous work training is applied and monitored for efficacy.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------------|--|--|---|--|
| 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. | <p>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.</p> <p>Provide records/evidence of this on job training and supervision.</p> | <p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|--|--|--|---|--|
| 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? | <p>Provide documented procedure.</p> <p>Provide two most recent event/incident report examples.</p> | <p>0 – no evidence provided</p> <p>1 – Reporting is evident but not follow-up/learning/investigation.</p> <p>2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Business has a confidential reporting process for all workers, with evidence that it is implemented and operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------|---|---|--|--|
| 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? | <p>Either covered in procedure above or a description that demonstrates this.</p> <p>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.</p> | <p>0 – no evidence provided</p> <p>1 – There is a process, but evidence of investigations being carried out.</p> <p>2 – Some incidents are investigated.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Investigations documented and undertaken by a person trained and competent in investigations.</p> |
| 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. | <p>0 – no evidence provided</p> <p>1 – n/a</p> <p>2 – n/a</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – n/a</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------|--|---|--|--|
| 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? | <p>Either covered in procedure above or a description that demonstrates this. Must detail the following</p> <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. <p>For the two investigation examples provided in MB21, provide evidence of the agreed corrective actions and their completion.</p> | <p>0 – no evidence provided</p> <p>1 – Policy or process exists, but no evidence it is done</p> <p>2 – Policy or process exists, no recent evidence this is done</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Workers involved in developing and implementing improvements.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-------------------------------|--|--|--|---|
| 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). | <p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p> |
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shows how specialist emergency response plans are contained or connected with a robust business continuity plan. The organisation shall also show how these plans are practiced and ‘pressure’ tested to ensure they will work.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|--------------------|--|--|---|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how the organisation encourages open relationships between people and how workers are encouraged to share 'bad news' with management without the fear of retribution.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------------------|---|--|--|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------|---|--|---|--|
| 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. | <p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|--|--|---|--|--|
| 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. Provide examples of the application of two hazard/risk identification methods (as described above) that have recently been completed (within last two years).</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------------|---|--|--|---|
| 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care. |
| 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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------|---|--|--|---|
| 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? | <p>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.</p> <p>Copy of two from the following: JSA, TA, SoP, or SWMS or similar for work activity.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall demonstrate how front-line workers contribute to the development and improvement of these instructions</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------|---|--|---|--|
| MB33: | PPE | <p>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.</p> | <p>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> | <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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|----------------------------------|---------------------------------------|---|--|--|---|
| OCCUPATIONAL HEALTH AND WELLNESS | | | | | |
| MB34: | 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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------|---|--|---|--|
| MB35: | 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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements demonstrates how the organisation supports and rehabilitates workers providing non-negative results. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--------------------------------------|---|--|---|---|
| MB36: | Stress, Fatigue and Mental Wellbeing | <p>The organisation has processes in place to manage work related stress, fatigue and mental wellbeing.</p> <p>Construction Contractors Only</p> <p>Actively engaged with Mates in Construction, Mates4Life or equivalent suicide prevention programme</p> | 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>Construction Contractors Only</p> <p>Evidence the organisation is actively engaged with Mates in Construction, Mates4Life, or equivalent suicide prevention programme, including provision of General Awareness Training (or similar) to people at all levels.</p> <p>(Notes for assessors: Double check all aspects are covered and also that construction contractors have provided the further evidence on training)</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall:</p> <ul style="list-style-type: none"> Have a formal fatigue management system that evidences fatigue reduction in workers and 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: <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 | Scoring (with suggested anchors) |
|--------------------------------------|--|--|--|---|--|
| HEALTH AND SAFETY INSPECTIONS | | | | | |
| MB37: | 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? “NA Possible” | Documented procedure supplied. Should cover: <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 Provide two recent examples of completed workplace safety inspections and include status of corrective actions. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity. |
| MB38: | 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? “NA Possible” | 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-------------------------------|--|--|---|--|
| <p>SUB-CONTRACTORS AND PCBU'S</p> <p>(NOTE THIS SECTION - APPLIES ONLY TO ORGANISATIONS THAT USE SUB-CONTRACTORS AND EXCLUDES SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED AND SCORED AS SUCH.</p> | | | | | |
| MB39: | 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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------|--|--|---|--|
| MB40: | Sub-contractor engagement | The organisation shall ensure that all sub-contractors have completed a recognised H&S pre-qualification assessment or cross-recognised assessment or certification. | 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. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements evidence that all sub-contractors are on the Tōtika register |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---|---|--|---|---|
| MB41: | 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. | <p>Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship):</p> <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) <p>Evidence of the above is provided.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------|---|---|--|--|
| MB42: | 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--|---|--|--|---|
| MB43: | 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>Construction contractor/supplier</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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how top management regularly meet with other PCBU top management to discuss and collaborate on H&S matters</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------|-------------|--|---|---|---|
| PLANT & EQUIPMENT | | | | | |
| MB44: | 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------|--|--|---|---|
| MB45: | Operation | The organisation shall demonstrate how plant and equipment operations are effectively managed and monitored. | <p>Do you have processes and systems for managing and monitoring plant and equipment operations?</p> <p>“NA Possible”</p> | <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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate innovative controls to reducing risk to people from plant and equipment</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------------------|------------|--|---|--|--|
| HAZARDOUS SUBSTANCES | | | | | |
| MB46: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? “NA Possible” if hazardous substances, other than general household type and quantities, clearly not held. | Documented procedure/process supplied. Should cover: <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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of: <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------|--|---|---|---|
| MB47: | 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 Haz Sub Regs)</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>Provide a 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements. |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|----------------------------------|--|---|--|---|
| MB48: | 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>Covered in procedure in MB47 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.</p> <p>Three recent SDS (< 5 years old) provided for three substances from inventory.</p> <p>Description of how hazardous substances are appropriately labelled.</p> | <ul style="list-style-type: none"> • 0 – no evidence provided • 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. • 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. • 3 – See details and minimum evidence requirements elements. • 4 – In addition to minimum evidence requirements: • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance • The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------------|---|--|---|---|
| MB49: | 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. | <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) <p>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.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. Information on all hazardous substances the worker is likely to be exposed to Physio-chemical and health hazardous of those substances Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 The actions taken in an emergency involving a hazardous substance The PCBU should have a training matrix detailing records of training and instruction given to each worker Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------------|----------------------------|--|--|---|----------------------------------|
| H&S PERFORMANCE HISTORY | | | | | |
| MB50: | 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> | n/a |
| MB51: | 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> | n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------------|--|--|---|----------------------------------|
| MB52: | 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> | n/a |
| MB53: | 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> | n/a |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|---|--|--|----------------------------------|
| MB54: | 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> | n/a |

QUESTIONNAIRE GUIDANCE & 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”.

The frequency of assessment for Cat 3 Suppliers is every year.

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|---------------------------------------|---|--|---|--|
| | Alternate Certification or assessment | See scheme rules (Page 15) for full description of external certification and assessment criteria. IF MINIMUM EVIDENCE REQUIREMENTS ARE MET, NO FURTHER ASSESSMENT IS REQUIRED | Has your business been independently assessed for any of the following recognised Health & Safety certifications, verifications, or assessments? <ul style="list-style-type: none"> ISO45001 certification | If yes, the following must be provided: <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. Developing, Performing or Leading for SafePlus Copy of certificate and report issued by third party assessor | Supplier can upload evidence directly into the Tötika through their supplier dashboard. If minimum evidence is met the supplier is graded and scored as follows: Current ISO 45001 certification Graded ‘Performing’, Score 100%. Expiry is 1 year from last surveillance/certification audit. |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------|------------|---|--|--|---|
| 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 | <ul style="list-style-type: none"> • 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>A policy document 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 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 | <p>0 – no evidence provided</p> <p>1 – Policy with only one element of the minimum requirements</p> <p>2 – Policy with only two elements of the minimum requirements</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to meeting the minimum evidence requirements the supplier can demonstrate how the policy is implemented.</p> <p>The organisation shall have an up-to-date (reviewed <12 months) health & safety policy or 'statement of intent' regarding health & safety. The policy shall be contained within, or can be accessed as part of the overall health & safety management system.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--------------------------|--|---|--|--|
| 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? | <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> | <p>0 – no evidence provided</p> <p>1 – Has a policy, no evidence of communication</p> <p>2 – Policy has not scored a 3 in element SB1.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Suppliers shows innovation in how the policy is communicated and implemented.</p> |
| 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? | <p>Describe what H&S accountabilities are applied to management roles in the organisation and how this is done.</p> <p>Identify the most senior manager and their role with overall accountability for H&S</p> <p>Provide two different examples of job descriptions (or similar) with specific H&S requirements included.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates all governance and leadership roles within the organisation have specific responsibilities and accountabilities for H&S, including specific objectives linked to their performance and remuneration.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-------------------------|--|---|--|--|
| 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? | <p>Provide evidence of a procedure or process that demonstrates how H&S issues are raised and dealt with in your business; or</p> <p>Separately describe two issues your business managed that demonstrates your approach to managing H&S related issues. Each example should include:</p> <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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation has included a feedback loop mechanism to an implemented confidential H&S reporting system.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|---------------------------------|---|--|--|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements this is supported by at least two concurrent safety climate surveys (separated by 12 week periods) showing that worker perceptions of management commitment to safety are good.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-------------------------|--|---|---|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how the wellbeing, health, and safety of all people affected are an integrated consideration on all senior management and board decisions.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|----------------------------------|--|--|--|---|
| 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? | 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. Further sections require evidence of specific documented processes to be provided. | 0 – no documented procedures 1 – Some documented procedures, but missing all of the documented procedures required in this core criteria document. 2 – Some documented procedures, but missing some of the documented procedures required in this core criteria document 3 – See details and minimum evidence requirements elements. 4 – Demonstrates innovation in terms of how documented procedures are developed, implemented, and reviewed (which must include worker participation). |
| LB8: | Competent H&S Advice | The organisation accesses and uses competent H&S advice. | Do you and your workers have access to competent H&S advice? Construction contractor/supplier “NA Required” if a Principal Contractor as question asked in Core Criteria Question PC05. | Describe who advises your organisation on H&S. Include in the description: <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 Describe a recent example of how you used/accessed this competent advice to support your H&S decisions or program. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – Meets the minimum evidence requirements and can provide evidence that advisor/s hold at least a Professional level (or equivalent) membership of a HASANZ member professional body (e.g. NZISM) |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|----------------|---|---|---|---|
| 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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how it prioritises expenditure on operational health and safety. The organisation shall also demonstrate budget for supporting worker mental health and wellbeing.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|---------------------------------------|--|--|--|--|
| 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>Construction contractor/supplier</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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how front-line workers contribute to the development of site or project specific plans.</p> |
| LB11: | Continuous Improvement | The organisation shall have processes in place to review and improve all its H&S processes | <p>How do you ensure H&S is continually improved within your organisation?</p> | <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? | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shall show how methodologies such as learning teams, appreciative inquiry, HOP, HPE or similar are used to engage front-line workers in improvement processes.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--|--|--|---|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a H&S strategy developed that shows allocation of responsibility and accountability outside of the H&S team/advisor roles.</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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation demonstrates how H&S performance is monitored using methods other than injury frequency rates.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------|---|--|--|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how top management are engaged in formerly reviewing the HSMS at least annually.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-----------------------------------|---|---|--|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how in-field verification of skill is applied.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------|---|---|--|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Some records of company induction or site inductions (not both)</p> <p>2 – Records of company and site inductions, but not recorded on the training register.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements able to provide evidence of how inductions are delivered at company and project level including evidence showing the content of these inductions.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|------------------------------------|---|---|--|--|
| LB17: | Foundation training and assessment | <p>The organisation shall provide evidence that all workers have attended appropriate foundation H&S training.</p> <p>Construction contractor/supplier Must have completed a Foundation H&S Knowledge Assessment in-line with industry guidance.</p> | <p>Have your workers completed foundation health and safety training of any kind (this can be in-house or externally delivered).</p> <p>Construction contractor/supplier Have workers completed an independent foundation knowledge assessment in line with industry guidance?</p> <p>“NA Possible”</p> | <p>Training register (supplied as evidence for MB14) foundation level training has been completed.</p> <p>Construction contractor/supplier Training or competency register show that a foundation knowledge assessment has been carried out.</p> <p>If you use an external training provider there must be a degree of independence between the training provider and the assessment to show the conflict of interest is being appropriately managed.</p> | <p>0 – no evidence provided</p> <p>1 – Evidence of foundational H&S training for some workers</p> <p>2 – Evidence of foundational training and assessment for some workers</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Able to demonstrate digital competency records for each worker showing industry recognised foundational H&S training, independent competency assessment, site induction records, and level of competency (relating to level of supervision required for work activities e.g. direct, indirect, or remote supervision)</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--|--|---|---|--|
| 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. | <p>Have workers required to carry out hazardous work been provided with the appropriate training and/or hold the required licenses or certifications?</p> <p>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.</p> <p>“NA Possible” if hazardous work not undertaken</p> | <p>Describe the following:</p> <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 <p>Training register supplied above shows specialist training has been completed.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows an example of how hazardous work training is applied and monitored for efficacy.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------------------------------|--|--|---|--|
| 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. | <p>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.</p> <p>Provide records/evidence of this on job training and supervision.</p> | <p>0 – no evidence provided</p> <p>1 – Worker supervision is provided, but not structured to vulnerable groups.</p> <p>2 – Vulnerable workers are identified , but no coherent plan to deliver consistent levels of supervision.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – The training and competency system identifies different levels of competence and specifically details when vulnerable workers are directly supervised and a pathway process for how these workers progress to competence levels where they may work in indirect or remote supervisory environments.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|--|---|--|---|--|
| 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. | 0 – no evidence provided 1 – Reporting is evident but not follow-up/learning/investigation. 2 – Reporting and investigation is a policy/process, but no evidence to support that this is a current activity. 3 – See details and minimum evidence requirements elements. 4 – Business has a confidential reporting process for all workers, with evidence that it is implemented an operating. Reporting involves a feedback loop, so those reporting can see that the report is received and acted upon. Investigation/incident learning approaches involve workers in the process and do not result in individual's being blamed for incidents or accidents. |
| 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. | 0 – no evidence provided 1 – There is a process, but evidence of investigations being carried out. 2 – Some incidents are investigated. 3 – See details and minimum evidence requirements elements. 4 – Investigations documented and undertaken by a person trained and competent in investigations. |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------------------------|--|---|---|---|
| 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. | 0 – no evidence provided 1 – n/a 2 – n/a 3 – See details and minimum evidence requirements elements. 4 – n/a |
| 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 LB21, provide evidence of the agreed corrective actions and their completion. | 0 – no evidence provided 1 – Policy or process exists, but no evidence it is done 2 – Policy or process exists, no recent evidence this is done 3 – See details and minimum evidence requirements elements. 4 – Workers involved in developing and implementing improvements. |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-------------------------------|--|--|--|---|
| 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). | <p>0 – no evidence provided</p> <p>1 – Procedure missing reasonably foreseeable emergency scenarios</p> <p>2 – Procedure covers most likely emergencies, although not sufficient detail to allow a meaningful response by workers.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Evidence of regular tests of emergency responses and associated improvements</p> |
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shows how specialist emergency response plans are contained or connected with a robust business continuity plan. The organisation shall also show how these plans are practiced and ‘pressure’ tested to ensure they will work.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|--------------------|--|--|---|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how the organisation encourages open relationships between people and how workers are encouraged to share 'bad news' with management without the fear of retribution.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-------------------------------------|---|--|--|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Understanding of worker participation but no evidence of activity.</p> <p>2 – Evidence of worker participation activity, but no supporting policy for this.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Trained safety representatives with evidence of them undertaking their function.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|----------|---|---|--|--|
| LB28: | Meetings | The organisation shows that they hold regular/structured meetings 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? | Either covered in procedure above or a description of: <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. | <p>0 – no evidence provided</p> <p>1 – Evidence was provided of minimal H&S meetings that fall far short of what is expected of an operation of this nature.</p> <p>2 – Evidence available that supports most of the requirement, but still falls short of what is expected of an operation of this nature.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Meets minimum evidence requirements and demonstrates innovation in how the employer meets with workers to discuss H&S matters.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|--|--|---|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic Hazard identification containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement with Hazard Analysis and processes for controls with some gaps. Evidence is available that supports most of the requirement, but not all.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements can demonstrate how hazards are prioritised and how critical controls are communicated and monitored for effectiveness.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------------------------------|---|--|---|--|
| 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? | <p>Describe how this is done (e.g. via induction or other training/briefing (meetings, forums, publications etc) and how workers understanding is confirmed.</p> <p>Evidence required that supports this is happening e.g. records.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements, shows a comprehensive mechanism for ensuring critical information on hazards and risks are communicated and understood for all workers under their care.</p> |
| 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? | <p>Covered in above procedure and/or description that describes:</p> <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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows evidence of an assurance framework associated with critical controls, which includes a governance aspect to this process.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------------------|---|--|--|---|
| 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? | <p>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.</p> <p>Copy of three from the following: JSA, TA, SoP, or SWMS or similar for work activity.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall demonstrate how front-line workers contribute to the development and improvement of these instructions</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|----------|--|---|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how technical specifications for PPE are identified and examples where front-line workers are consulted on PPE specification and use for work activities.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---|---------------------------------------|---|--|---|--|
| 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. | <p>Have you identified any occupational health hazards/risks that require health monitoring/surveillance, and do you carry this out?</p> <p>“NA Possible” if no health hazard exposures</p> | <p>List the identified health hazards/risks that require health monitoring/surveillance.</p> <p>Describe what health monitoring is provided to workers including:</p> <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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows evidence that occupation health and/or occupational hygiene specialist advice is sought and applied to these processes.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-------------------|---|--|--|---|
| LB35: | Drugs and alcohol | The organisation has a drug and alcohol policy. | Does your organisation have a workplace drug and alcohol policy? | <p>Provide the policy document and/or details that include the following information:</p> <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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates how the organisation supports and rehabilitates workers providing non-negative results.</p> |

| | | | | | |
|--------------|---|---|---|---|--|
| <p>LB36:</p> | <p>Stress, Fatigue and Mental Wellbeing</p> | <p>The organisation has processes in place to manage work related stress, fatigue and mental wellbeing.</p> <p>Construction Contractors Only</p> <p>Business is actively engaged with Mates in Construction, Mates4Life or equivalent suicide prevention programme</p> | <p>How does your organisation manage work-related stress, fatigue and mental wellbeing?</p> | <ul style="list-style-type: none"> Describe the approach your organisation takes to manage work-related stress, fatigue and mental wellbeing including: 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 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: 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. <p>Construction Contractors Only</p> <p>Evidence the organisation is actively engaged with Mates in Construction, Mates4Life or equivalent suicide prevention programme, including provision of General Awareness Training (or similar) to people at all levels. Evidence providing sub-contractors access to those training and resources at a project level.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall have a formal fatigue management system that evidences fatigue reduction in workers.</p> <p>(Notes for assessors: Double check all aspects are covered and also that construction contractors have provided the further evidence on training)</p> |
|--------------|---|---|---|---|--|

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--------------------------------------|--|---|---|---|--|
| 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? "NA Possible" | Documented procedure supplied. Should cover: <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 Provide three recent examples of completed workplace safety inspections and include status of corrective actions. | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum requirements shows specifically how workers and H&S representatives are engaged in this activity. |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--------------------------|--|--|---|---|
| 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? “NA Possible” | 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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shows how safety representatives, managers, and other leaders have specific objectives for contributing to these activities.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|--|-------------------------------|--|---|---|--|
| <p>SUB-CONTRACTORS AND PCBU'S</p> <p>(NOTE THIS SECTION - APPLIES ONLY TO ORGANISATIONS THAT USE SUB-CONTRACTORS AND EXCLUDES SOLE TRADERS). PRINCIPAL CONTRACTORS WILL BE EXPECTED TO PROVIDE INFORMATION/EVIDENCE IN KEEPING WITH THEIR CONTEXT AND WILL BE ASSESSED AND SCORED AS SUCH.</p> | | | | | |
| 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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier demonstrates use of Tōtika as part of these processes.</p> |
| LB40: | Sub-contractor engagement | The organisation shall ensure that all sub-contractors have completed a recognised H&S pre-qualification assessment or cross-recognised assessment or certification. | <p>Do you prequalify (H&S) each subcontractor (PCBU) prior to engagement to confirm they have an appropriate health and safety management system?</p> <p>"NA Possible" if sub-contractors clearly not engaged.</p> | <p>Documented procedure or description of process confirms subcontractors are prequalified.</p> <p>Provide two examples of recent sub-contractor H&S prequalification.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements evidence that all sub-contractors are on the Tōtika register</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|---|---|--|---|---|
| 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. | <p>Documented procedure/process or detailed description includes (at a level appropriate to the nature of the activity/relationship):</p> <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) <p>Evidence of the above is provided.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier shows how top management regularly and formerly discusses H&S matters with sub-contractor top management.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|------------------------|---|---|--|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements demonstrates use of a suite of lead indicators collaboratively agreed with sub-contractors.</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--|---|--|--|---|
| 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, communicate, and coordinate activities with other organisations you might work with or in the vicinity of?</p> <p>Construction contractor/supplier</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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how top management regularly meet with other PCBU top management to discuss and collaborate on H&S matters</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|------------------------------|-------------|--|---|---|---|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the supplier can show that assessment an assessment system has been established to an appropriate standard (such as AS/NZS 4024.1201:2014)</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------|--|--|---|---|
| LB45: | Operation | The organisation shall demonstrate how plant and equipment operations are effectively managed and monitored. | <p>Do you have processes and systems for managing and monitoring plant and equipment operations?</p> <p>“NA Possible”</p> | <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. | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate innovative controls to reducing risk to people from plant and equipment</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|----------------------|------------|--|---|--|--|
| HAZARDOUS SUBSTANCES | | | | | |
| LB46: | Management | The organisation shall document the process for how it manages the storage, transportation, and use of hazardous substances. | Do you have a procedure or documented process for the storage, transportation, and use of hazardous substances? "NA Possible" if hazardous substances, other than general household type and quantities, clearly not held. | Documented procedure/process supplied. Should cover: <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 | 0 – no evidence provided 1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence. 2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement. 3 – See details and minimum evidence requirements elements. 4 – In addition to minimum evidence requirements, the supplier additionally provides evidence of: <ul style="list-style-type: none"> • Hazardous substance inventory includes incompatible material/substances, location, and where applicable, waste hazardous substances • All hazardous substances are labelled correctly for the storage conditions and containers used for that hazardous substance • The correct signage is present for the type and quantity of hazardous substances present on site or within a building or store where applicable. • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • Where substances requiring certified handlers are present that those substances are under the control and supervision of a certified handler • Where applicable, a documented process is present for the management of hazardous substances in a laboratory • Where triggered (location compliance certificate) a site map is present. • An emergency response plan for hazardous substances is present and this is tested annually where applicable • All workers who are exposed to substance through work are trained in the emergency response plan • Appropriate emergency response equipment is present, tested and inspected annually |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-----------|--|---|---|---|
| LB47: | 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 Haz Sub Regs)</p> <p>“NA Possible” if hazardous substances, other than general household type and quantities, clearly not held.</p> | <p>Provide a 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – Provide a hazardous substances inventory covering:</p> <ul style="list-style-type: none"> • Product/chemical name • Maximum quantity likely to be stored • Location it is stored • Specific storage/segregation requirement • The inventory is reviewed, up to date and dated • Information on incompatible substances is detailed • The location of all substances SDS • Where waste is generated the inventory describes the nature of the waste, maximum quantity likely present, location of waste, and any other specific storage requirements. |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|----------------------------------|--|---|--|---|
| LB48: | 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>Covered in procedure in LB46 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.</p> <p>Three recent SDS (< 5 years old) provided for three substances from inventory.</p> <p>Description of how hazardous substances are appropriately labelled.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum evidence requirements:</p> <ul style="list-style-type: none"> • SDS's are available and can easily accessed and made available to all stakeholders including FENZ • All SDS's meet the requirements of Hazardous Substances (Safety Data Sheets) Notice 2017 • All SDS's must be supplied by the manufacturer, supplier or importer of that hazardous substance <p>The SDS or condensed SDS must be made available to or easily accessed by all workers and emergency services or other stakeholders</p> |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|------------------------------|---|--|--|---|
| 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. | <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) <p>Evidence training has been provided – can reference Training Register in LB15 if this contains the records. Alternatively provide records for a sample of four workers.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to the minimum evidence requirements:</p> <ul style="list-style-type: none"> • Supervision and instruction in handling, using, storing hazardous substances provided is provided by a person(s) or body that adequate knowledge and experience of similar places, and work. • Information on all hazardous substances the worker is likely to be exposed to • Physio-chemical and health hazardous of those substances • Procedures for safe use of all equipment, including PPE necessary to manage that hazardous substance • Practice for safe usage of all equipment, including PPE necessary to manage that hazardous substance • Workers obligations under the Health & Safety at Work (Hazardous Substances) Regulations 2017 • The actions taken in an emergency involving a hazardous substance • The PCBU should have a training matrix detailing records of training and instruction given to each worker • Where the PCBU holds substances that require to be under the supervision and control of a Certified Handler that they have such a person trained |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|------------------------------------|----------------------------|--|--|--|----------------------------------|
| 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. | 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: <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 | No score given. Information provision only Court Base search required. | n/a |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|--------------------|--|--|--|----------------------------------|
| 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"> 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> | n/a |
| 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> | n/a |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|---------------|-------------------------|---|--|---|----------------------------------|
| 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"> 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> | n/a |
| 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> | n/a |

| Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-------------------------|---------------------|---|---|--|----------------------------------|
| SITE VISIT VERIFICATION | | | | | |
| Suspended | Onsite verification | An onsite verification audit from an approved Tōtika member scheme has verified appropriate planning, implementation, learning, and continuous improvement on all elements of the core criteria, where evidence has been submitted for pre-qualification assessment and where criteria elements are applicable to the supplier. | (RE-INCLUSION OF THIS ELEMENT SHALL BE CONSIDERED BY SCHEME GOVERNANCE IN 2023) | Member scheme to carry out an onsite verification visit to verify that the evidence provided during desktop assessment is implemented and effective across the organisation. | n/a |

QUESTIONNAIRE GUIDANCE & MINIMUM REQUIREMENTS FOR PRINCIPAL CONTRACTORS (CONSTRUCTION SECTOR ONLY)

DEFINITION

A principal contractor is the contractor with control over the construction phase of a project involving more than one contractor.

They should be appointed in writing by the client (commercial or domestic) to plan, manage, monitor and coordinate health and safety during this phase.

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 | Scoring (with suggested anchors) |
|-----------------|--|---|---|--|--|
| 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). | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how it convenes monthly H&S meetings with top management from all PCBU's and can demonstrate how this group agree and set minimum H&S expectations.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------|--|---|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how innovation is applied to applying high standards of worker welfare across all work areas.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------|---|--|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements shall show how collaboration between PCBU's is achieved to deliver designs and plans.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|---|---|---|--|
| PC04 | Making the client aware | <p>The organisation has processes to ensure the client is aware of their H&S responsibilities: (Note: where the work is domestic, the PC assumes these responsibilities on their behalf)</p> <ul style="list-style-type: none"> -make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include: -appointing the contractors and designers to the project (including the principal designer and principal contractor on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability -allowing sufficient time and resources for each stage of the project -making sure that any principal designer and principal contractor appointed carry out their responsibilities in managing the project -making sure suitable welfare facilities are provided for the duration of the construction work -maintain and review the management arrangements for the duration of the project -provide pre-construction information to every designer and contractor either bidding for the work or already appointed to the project -ensure that the principal contractor or contractor (for single contractor projects) prepares a construction phase plan before that phase begins -ensure that the principal designer prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site | How do you ensure the client is aware of their H&S responsibilities 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 responsibilities and how you ensured they met them (or how you dealt with them if they didn't met them). | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show it partners with clients to collaboratively deliver of H&S duties and responsibilities.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|---------------------------|--|--|--|--|
| 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 • their qualifications and/or professional registration • your CPD programme and/or examples of training and/or development plans for your advisors (which may include in-house training) <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 Professional level (or equivalent) membership of a recognised health and safety registration body in NZ.</p> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how H&S roles align to the INSHPO Framework</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------|---|---|---|--|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall show how it employs specific expertise to manage change on its projects.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|------------------|--|---|--|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide examples of how safety was improved through a design change.</p> |

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

DEFINITION

Designer means any person or organisation (PCBU) who prepares or modifies a design, or arranges for, or instructs a person in their control to do so.

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 | Scoring (with suggested anchors) |
|-----------------|----------------------------|---|---|---|--|
| 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 relevant 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the programme shall show how the client PCBU is accountable for decision relating to design changes that result in H&S improvement.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-----------------------------|--|---|--|---|
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide evidence that SiD lessons learned are available as legacy learning for future projects.</p> |
| 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 | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall develop its own SiD community of practice, which shall include the application of BIM systems.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|--|--|--|---|--|
| 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> | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall provide evidence that design changes that improve safety are achieved for all designs carried out.</p> |

| # Core Criteria | Criteria | Details | Questionnaire Template Guidance | Minimum Evidence Requirements | Scoring (with suggested anchors) |
|-----------------|-------------------------|--|---|---|---|
| PD05 | Making the client aware | <p>The organisation has processes to ensure the client is aware of their H&S responsibilities through the safety in design process.</p> <p>(Note: where the work is domestic, the PC assumes these responsibilities on their behalf)</p> <ul style="list-style-type: none"> -make suitable arrangements for managing their project, enabling those carrying it out to manage health and safety risks in a proportionate way. These arrangements include: <ul style="list-style-type: none"> -appointing the contractors and designers to the project (including the principal designer and principal contractor on projects involving more than one contractor) while making sure they have the skills, knowledge, experience and organisational capability -allowing sufficient time and resources for each stage of the project -making sure that any principal designer and principal contractor appointed carry out their responsibilities in managing the project -making sure suitable welfare facilities are provided for the duration of the construction work -maintain and review the management arrangements for the duration of the project -provide pre-construction information to every designer and contractor either bidding for the work or already appointed to the project -ensure that the principal contractor or contractor (for single contractor projects) prepares a construction phase plan before that phase begins -ensure that the principal designer prepares a health and safety file for the project and that it is revised as necessary and made available to anyone who needs it for subsequent work at the site | How do you ensure the client is aware of their H&S responsibilities 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 responsibilities relating to SID and how you ensured they met them (or how you dealt with them if they didn't met them). | <p>0 – no evidence provided</p> <p>1 – Attempted a basic response containing significant gaps which may be partially supported with uploaded evidence.</p> <p>2 – Has addressed the requirement although some gaps have been identified. Evidence available that supports most of the requirement.</p> <p>3 – See details and minimum evidence requirements elements.</p> <p>4 – In addition to minimum requirements the organisation shall demonstrate how it partners with clients to collaboratively meet their H&S obligations.</p> |