

Category 1 Questionnaire

CATEGORY DEFINITION

Category 1	Very small contractor	You are a Category 1 contractor if you are engaged by the main contractor or directly by your client and have 2 to 5 employees. You <i>may</i> also engage contractors (either sole traders or larger contracting organisations).
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If you think you have been streamed incorrectly, please review your registration details and if you are still unsure, please contact info@prequal.co.nz or call our free phone number 0800 773 782.

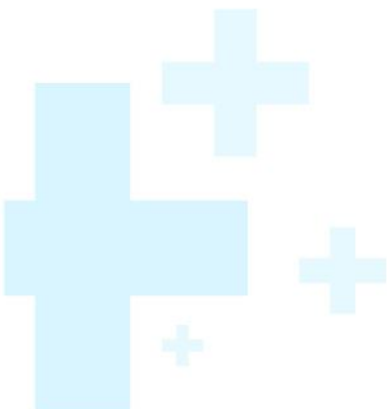
Please Note:

This copy of the questionnaire contains all the possible questions you could be asked. There may be questions that are not released to you in your online application based on the work activities you undertake.

If your application is a renewal, please check all your registration details are current to ensure you are in the correct category.

Assessment Scoring:

PREQUAL has improved our assistance to contractors during the prequalification process. As part of our service offering, we have included better **Question Help**, to aid your understanding of what evidence we expect for each question, and **General Scoring Criteria** to be clear about what we are (generally) looking for as a minimum to score full marks (a 4) for each question. It is important to remember that PREQUAL is a pan-industry prequalification. This means that whilst we have tried our best to succinctly summarise what we typically expect for each question, there will always be exceptions to these requirements.



BUSINESS OVERVIEW

Please provide a description of your organisation and set up.

For example, the key services you deliver, your primary work areas, any recent changes to your organisation especially if you have grown considerably or acquired other companies. This is also a space to explain any parent company/subsidiary/franchise type set ups you may be part of especially if you operate under the same centralised health and safety management system of a bigger franchisor/organisation. The more detail you provide here the better our assessment will be against your organisation's context.

(free text answer)

Question Help: *This question is non-scoring.*

What we are trying to ascertain here is who you are as an organisation, what your primary work activities are, how your health and safety management system is applied across your organisation and any recent changes that we should be aware of that may affect how your assessment is marked. The more information we have about your unique structure, the better our assessment against your organisation will be, leading to clearer outcomes for targeted continual improvement and better representation to your client for potential engagement opportunities.

SECTION 1: MANAGEMENT SYSTEM CERTIFICATION

1.1

PREQUAL recognises the following Health and Safety Management System audit certifications.

- ACC Accredited Employer Partnership Programme (AEP)
- ISO 45001
- AS/NZS 4801
- OHSAS 18001

Does your organisation hold one of the above audit certifications?

Note: Certification must be current at the date of submission and from a registered provider.

View "Help" for more information.

Please attach a copy of your current HSMS audit certification.

Answer Options: YES, NO

Question Help: This question is non-scoring.

HSMS Audit Certification Acceptance:

Certification should cover and indicate the New Zealand division of any international organisation (exceptions may be made for some businesses. If you are unsure, please contact us)

Excluding ACC (AEP), certification must be from a JAS-ANZ registered accredited provider OR an accredited provider that falls under IAF (International Accreditation Forum) regulation.

If certifying body where you have obtained your Health and Safety Management Certification is not registered with either JAS-ANZ or IAF, we will unfortunately not be able to accept your certificate.

You will not be penalised for not having a current certification. If you don't hold a current certification, you will just have visibility of and be required to answer all assessment questions.

To check if your certifying body is an accredited provider, please see;

- <https://register.jas-anz.org/accredited-bodies> (for New Zealand)
- <https://iaf.nu/en/recognised-abs/> (for international providers)

SECTION 2: HEALTH & SAFETY

2.1 HEALTH & SAFETY MANAGEMENT & COMMITMENT

2.1.1

Do you have a health and safety policy statement?

Note: We are not looking for your entire Health and Safety Manual for this question.

Please attach a recently signed and dated copy of your organisation's health and safety policy statement.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety policy statement sets out your approach, commitment, and intentions to workplace health and safety and should be accessible to the relevant workers, visitors, and other stakeholders. It is generally a one – two-page document and should be signed by the PCBU/top management.



General Scoring Criteria: To score well in this question you will need to provide:

- A health and safety policy statement with a good outline of clear legislative and organisational expectations for example:

Commitment to comply with relevant legislation and good practice.

Commitment to consult with employees in managing health and safety.

Referral to responsibilities of all involved in the organisation in creating a safe healthy environment.

- A health and safety policy statement that has been signed and dated within the last 2 years.
- A health and safety policy statement that has been clearly signed by the organisation's Owner, Managing Director, CEO etc.

2.1.2	<p>Who is responsible for the management of health and safety in your business?</p> <p>Identify their role and describe what they are responsible for in relation to H&S.</p> <p>(free text answer)</p>
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Question Help: This question is asking who (named individual and role) within your organisation has overall health and safety responsibility. There is an expectation that an organisation is aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

General Scoring Criteria: To score well in this question you will need to provide:

- The name of the individual/s with **overall** responsibility for health and safety (your score will be determined by the selection of the appropriate individual/s).
- The role of the individual/s with this responsibility and a brief description of what they are responsible for with respect to health and safety.

2.1.3	<p>If health and safety issues come up, how do you deal with them?</p> <p>Please write a short description and include 2 recent real examples.</p> <p>(free text answer)</p>
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Question Help: This question is looking for a description of how you manage health and safety issues as they arise. For example, how they are recorded (meetings, particular forms, online systems etc.), monitored, and how follow up of actions takes place.

After describing how you manage these issues, we need you to outline 2x separate recent examples. You will provide a clear description of what these issues were and what was done to resolve them.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A clear description of how your organisation manages health and safety issues.
- 2x recent examples of health and safety issues that have arisen, an outline of each issue and the actions taken to resolve and prevent issues of a similar nature reoccurring.

2.1.4	<p>Who provides your company with health and safety advice and support e.g. Internal Health and Safety Advisor/Manager or External Consultant? (free text).</p> <p>Include the following in your answer:</p> <ol style="list-style-type: none"> 1. The name of the individual (internal or external) or external organisation. 2. The health and safety qualifications of the individual (internal or external) or of key people within the external organisation. 3. The level of health and safety experience of the individual (internal or external) or of key people within the external organisation. <p>(free text answer)</p>
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Question Help: This question is asking you if you receive regular/ongoing (not one off) qualified health and safety advice from either an internal or external health and safety professional/s (individual OR organisation). If you receive advice from an organisation with multiple individuals, please provide the names, years of experience and qualifications from those individuals you have dealt with.

Weighting is placed on the level of qualification, but absence of qualification with industry experience (number of years) may be considered for a lower score.

Note: We undertake due diligence checks to ensure any named individual/s hold the indicated qualification/s. We have an obligation to report suspected instances of false qualification held by a health and safety professional.

General Scoring Criteria: *To score well in this question you will need to provide:*

- The name/s of an individual/s and their specific health and safety qualifications (scoring will decrease as an individual/s hold a lesser level health and safety qualification – in line with New Zealand Qualifications Framework. To score a 4 requires a level 8 qualification).
- The number of years of specific health and safety related work experience the individual/s have.

2.2 SAFE WORK PROCEDURES & PRACTICES

2.2.1	Do you produce and implement Standard Operating Procedures/Safe Work Procedures relating to the work you undertake?
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	<p>Please attach 2 current examples.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.</p>
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Question Help: SOP's/SWP's (Safe Work/Operating Procedures) are procedures that are in place to describe how to carry out standard tasks in a consistent and safe manner. They are commonly used for on-the-job training and are about standardised activity with limited to no potential for variation. They include a step-by-step guide to use a specific piece of equipment or to carrying out a specific task and include the hazards and risks involved and the controls to prevent harm.

They do not refer to generic safety procedures such as personal protective equipment management, generic chemical handling, or workplace inspections and are not to be confused with a Job Safety Analysis (JSA) as these are typically applied where the approach to the work activity, or the environment in which it is carried out, has the potential for variation.

SOP's/SWP's should be developed internally or specifically for your organisation. Whilst using industry standards, code of practice etc. may be applicable in some instances, this prequalification is assessing your ability to develop and implement your own internal instructions and procedures to ensure that information is directly relevant to your operations.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x different SOP's/SWP's that are relevant to your organisation and the work activities you undertake.
- An appropriate level of detail that outlines the steps required to undertake the task/use the piece of equipment.
- Identification and appropriate controls for hazards/risks that are likely to be encountered including PPE to be worn.
- SOP's/SWP's should have been developed internally or tailored to your organisation.

2.2.2	<p>Do you have a process/procedure to periodically review your Standard Operating Procedures/Safe Work Procedures referred to in the question above?</p> <p>Please describe how this is done, when and why you do this.</p> <p>(free text answer)</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.</p>
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Question Help: SOP/SWP review refers to how, when, and why you review your work instructions i.e., by what means, what time intervals, what may require you to review your work instructions and who this is done by. This question is looking for you to describe the process you follow to ensure that SOP's/SWP's remain current and fit for purpose.

General Scoring Criteria: To score well in this question you will need to provide:

- A description that clearly explains how you review your SOP's/SWP's, the frequency of these reviews, and the reasons why review may be required. A score will be based on how well your answers here adheres to best practice.

2.2.3

Are you required to develop Site Specific Safety Plans (SSSP's) when working for clients?

Please attach 1 recently completed SSSP.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities especially if you do not undertake physical works onsite and/or you may not be required to produce SSSP's for your client/s for the work you do. If this is the case, please mark this question as N/A and explain.

Question Help: A Site Specific Safety Plan (SSSP) is a document showing how health and safety is to be managed for a given project or service. SSSP's are more likely to be completed for long duration or complex work. SSSP's typically cover:

- H&S Structure and Responsibilities
- Methods of communicating H&S
- Hazard and risk management processes including site risk register
- Management of contractors/subcontractors
- Training and competency including induction
- Incident reporting and investigation
- Emergency response
- Audit and inspection
- Site specific project methodology should be included to ensure the plan does not appear generic

For the purposes of assessment, a signed off / working SSSP is required. This means the SSSP has been signed by both contractor (yourself) and client to agree it is approved for use.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed SSSP which (generally) includes the sections outlined in the Question Help.
- Evidence the SSSP has been signed or approved internally and by the client.
- Evidence should be from within the last 2 years.



2.3 RISK MANAGEMENT

2.3.1

Do you have a procedure or process for identifying, controlling, and reviewing hazards/risks within the workplace?

Please:

Attach your hazard/risk management procedure or a description of your process.

Attach 2 items of evidence of your process/procedure in practice.

Attach your Hazard/Risk Register.

Examples of evidence include:

1. Completed hazard identification, job safety analysis, task analysis forms
2. Reports of new hazards in meeting minutes etc.
3. Hazard report forms

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A hazard/risk management procedure or process will describe how your organisation systematically identifies hazards, assesses their risk, and applies a 'hierarchy of control' to manage this risk. It will also describe how these hazards/risks and controls are monitored and reviewed (how, who by, frequency).

A hazard/risk register will display all hazards/risks that you have identified within your workplace showing the controls you have established to minimise or reduce the likelihood of those hazards/risks occurring or causing significant harm. Assessors check to see that expected hazards/risks are identified and align with your work activities.

To support this question, evidence in practice should clearly show hazards/risks being identified and controlled. This could be through the use of hazard report forms or could be evidence such as a completed JSA, Task Analysis, Hazard ID etc. where we can see you have the knowledge of how to identify hazards/risks for a piece of work/task and apply appropriate control measures.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazard/risk management procedure/process that aligns with best practice i.e., how to identify, risk assess, control, monitor, record, and review hazards/risks.
- A non-generic hazard/risk register that identifies hazards/risks that align with your specific work activities. This should cover your entire organisation i.e., not just a hazard/risk register for a specific job or location in your workplace.
- Clear periodic review and monitoring of hazards/risks.
- Appropriate and critically thought-out controls.
- 2x pieces of evidence of your procedure/process in practice i.e., completed hazard report forms, discussion and control of new hazards identified in meeting minutes, JSA's (or similar) showing you can apply hazard/risk management processes.
- Evidence should be from within the last 2 years.

2.3.2

Do you complete JSAs (Job Safety Analysis - also referred to as a Task Analysis) for the work you do?

	<p>Note: A JSA is not just a list of hazards/risks. A JSA should outline the sequence of steps required to undertake a piece of work/task and the hazards/risks associated with each step. The controls to manage these hazards/risks should also be identified.</p> <p>Please attach 1 recently completed JSA.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake physical works and/or you may not be required to produce JSA's for the type of work you do. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A JSA will identify the steps of a task or job and the hazards/risks and controls associated with each step. A well completed JSA will clearly show the environmental situations and that it has been reviewed by those undertaking the work on site. For the purposes of assessment, the JSA will need to be signed and dated by all those involved on site.

Note: If your JSA does not identify the steps required to complete a particular task or job and instead is just a list of hazards, assessors will send your evidence back in the resubmission. We are NOT just looking for a list of hazards.

A JSA is also different from an SOP/SWP. JSAs take into account varying environmental conditions within a task/job and are completed for specific site work.

The JSA does not necessarily need to be completed on your own organisation's JSA template. In some situations, you may be required to use your client's JSA document. In this instance you can supply a copy of this JSA but clear indication that this has been completed by your own workers needs to be visible i.e., names with organisation name printed next to them.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed JSA (job steps identified, hazards/risks and controls in place, signed and dated by those undertaking the work)
- Evidence should be from within the last 2 years.
- Marks will be awarded for an appropriate break down of the job/task steps relative to the work being undertaken, appropriateness of controls etc.

2.3.3	<p>Do you have a procedure for managing the isolation (lockout-tagout) of live energy sources e.g. electrical equipment, moving machinery, hydraulics, live process lines etc?</p> <p>Please attach your isolation (lockout-tagout) procedure.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake electrical works or work with other types of equipment/machinery that would typically</p>
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require the lock-out/isolation of stored energy types. If this is the case, please mark this question as N/A and explain.

Question Help: An energy isolation procedure or process (also known as lockout-tagout) will ensure machinery or equipment is inoperable by the isolation of live energy sources to achieve a 'zero energy' state. This may include electrical, pneumatic, hydraulic, mechanical, live process lines and stored energy. Not all types of energy sources may be relevant to your organisation, but it is important to have a procedure or process for those types that are relevant.

The procedure or process should outline a set of predetermined steps to follow when workers are required to perform tasks such as inspection, maintenance, cleaning, repair, and construction to ensure the safety of those doing the work.

The isolation procedure or process should include information on:

- What types of machinery/equipment you have that requires isolation
- How to isolate energy sources and ensure a zero-energy state
- The use and placement of locks and tags
- Training and authorised personnel
- Removal of isolation/lockout-tagout
- Safe re-energisation

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure or process that outlines the expected information listed in the Question Help
 - A procedure relevant to the types of energy sources you are required to lockout-tagout
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2.3.4	<p>Do you have documented procedures for general emergencies e.g. fire, medical, earthquake, flood etc.?</p> <p>Please attach a copy of your general emergency procedures.</p> <p>Answer Options: YES, NO</p> <p>Please Note: If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</p>
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Question Help: Your general emergency procedures should cover a wide range of natural and situational emergency scenarios (not just fire and earthquake). All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified emergency scenario. Lastly, we are not just looking for an evacuation plan.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected general emergency scenarios – both natural i.e. fire, flood, earthquake etc. and situational i.e. bomb threat, medical event etc.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

2.3.5	<p>Do you have documented procedures for emergencies specifically related to the work activities you undertake e.g. confined space entry, heights rescue, chemical spill, working alone, electrocution, trench collapse etc.?</p> <p>Note: For each activity specific emergency scenario we are looking for the actual steps that are to be followed in the event of an emergency, not just a document outlining the requirement to have a plan in place.</p> <p>Please attach a copy of your work activity specific emergency procedures.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake physical works that typically require specific emergency processes. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: Your activity specific emergency processes should cover all emergency scenarios related to the specific work activities you undertake. All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified activity specific emergency scenario. We are not just looking for a document that outlines the requirement to have a plan in place.

Some typical activity specific emergency scenarios could include confined space rescue, heights rescue, chemical spill, working alone, electrocution, trench collapse etc.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected activity specific emergency scenarios. When marking this question, assessors will be keeping mind your indicated work activities and hazards/risks you have identified.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

2.3.6

Do you have a procedure/process for managing hazardous substances?

Please:

Attach your hazardous substance management procedure or description of your process.
Attach any 2 current Safety Data Sheets (SDS) that are relevant to the substances you use.
Attach a copy of your hazardous substance inventory.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't use or store hazardous substances. If this is the case, please mark this question as N/A and explain.

Question Help: A procedure for managing hazardous substances will describe what hazardous substances are present and how your organisation will manage any risk from the use, handling, and storage of hazardous substances.

The procedure should typically include:

- How you handle and where you store hazardous substances
- How you train workers in their safe use
- How you carry out any required monitoring of your people or their work area

Safety Data Sheets (SDS) are also required, and these must be less than 5 years old and include the standard 16 sections.

You must include your hazardous substances inventory. This inventory must contain the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazardous substances procedure that includes the information outlined in the Question Help.
- 2x different Safety Data Sheets that are less than 5 years old and contain 16 sections. These must be for products you use (i.e. we will check your hazardous substances inventory).
- A hazardous substances inventory that contains the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

2.3.7

Do you provide personal protective equipment (PPE) to your workers?

	<p>Describe what PPE you provide, how it is maintained, and how/when it is replaced. (free text)</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you are office based, not conducting onsite work etc. Whilst most organisations will have some form of PPE if N/A is applicable, mark this question as N/A and explain.</p> <p>Please Note:</p> <p>If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</p>
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Question Help: Personal protective equipment (PPE) refers to all protective clothing and equipment used by an individual whereby elimination or minimisation does not entirely remove risk. The hazards and risks addressed by PPE can include physical, electrical, heat, chemicals, biohazards, and airborne matter.

Disposable PPE should be included but if you only have single use PPE, we will naturally not expect a description for maintenance and replacement.

In your description please include:

- What PPE is needed for what work area and/or work activity?
- How PPE is maintained and checked
- How and when PPE is replaced

General Scoring Criteria: To score well in this question you will need to provide:

A description detailing what PPE is provided, this PPE should be appropriate to the hazards/risks present in your working environment.

A description detailing how PPE is maintained (i.e. cleaned/stored correctly) and checked.

A description detailing how PPE is replaced and when (i.e. when may replacement be necessary).

2.4 HEALTH & WELLBEING

2.4.1	<p>Does your organisation have any form of mental health and wellbeing support or training in place for workers?</p> <p>Please describe the type of support, training, or initiatives that you have in place. (free text)</p> <p>Answer Options: YES, NO</p>
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Question Help: This question is asking if you provide your workers with mental health and wellbeing training or support. Training could be provided internally or externally i.e. Mental Health First Aid courses and forms of support could include paid for support programmes like EAP or similar counselling type services for workers who are struggling.

You may also have internal initiatives or strategies in place to manage the risks around mental health and wellbeing and facilitate a better working environment, if so please describe these.

General Scoring Criteria: To score well in this question you will need to provide:

- A clear indication of the type of training, support, or initiatives that your organisation implements for workers.
- Internal initiatives should clearly outline how the initiative helps workers.
- Any training should outline if the training is internal or external, what the course is and who it is offered by. Indicate who has received the training and the dates of completion.
- Support programmes i.e. EAP services should outline what the service is, who has access etc.

2.5 INCIDENT REPORTING & INVESTIGATION

2.5.1

Do you have an incident reporting and investigation procedure?

Please:

Attach your incident reporting and investigation process/procedure

Attach your incident register from the past year

Attach 2 completed incident report forms

We will be looking for the following content in the procedure:

1. How incidents are reported
2. How you report Notifiable Events, Illness, and Injuries to WorkSafe
3. Notification of incidents internally and to your clients
4. How you store incident records
5. How it is ensured that corrective actions from investigations are completed.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident reporting and investigation procedure ensures that all incidents that do or have the potential to cause harm, are reported and investigated. This will lead to the review of controls if needed. In addition, they ensure legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- How incidents are recorded and who they are reported to
- Which incidents are to be investigated and by who

- The investigation processes
- How corrective actions are implemented
- How notifiable events are managed
- How and where incident records are stored

An incident register is generally where records are stored. This could be physical or digital with many online systems currently used to store this information. If you are using an online system, please export data or take screen shots for upload to your assessment.

Incident reporting forms should be completed to record and detail any incident/near miss that takes place within your workplace.

Note: A lack of working evidence to supply would generally indicate to us that incident reporting is not taking place, not that no incidents/near misses have occurred. If you do not have recent evidence, please provide evidence of any age. If, even with these exceptions, you have not had any incidents/near misses to report, please attach an explanation to suggest this and at minimum provide the incident reporting and incident register templates you would use.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure that outlines the information in the Question Help
- An incident register that shows all incidents/near misses that have been reported within your organisation for the past year.
- 2x completed incident reports.

2.6 WORKPLACE INSPECTION

2.6.1

Do you conduct regular health and safety inspections of your work areas? (e.g. offices, work sites etc.)

Please:

Attach a description of how and when you do this (your process)

Attach 1 recently completed inspection

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work areas. Whilst most organisations should have some form of work area for inspection, certain allowance may be made for small home offices etc. If so, please mark this question as N/A and explain.

Question Help: Workplace inspections help prevent injuries and illnesses through frequent examination of the workplace and formally identifying and recording hazards/risks for corrective action. A formalised process is expected to identify, record hazards, and follow up with corrective actions. This can include offices, warehouses, vehicles, workshops or any site where work is performed.

Please note: A workplace inspection needs to include physical environment checks not just safe worker behaviour.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the process to undertake workplace inspections which will cover how inspections are undertaken and when (frequency).
- 1x completed workplace inspection.
- Inspection items should be relevant to your work areas/activities.
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.
- The inspection should be recent (ideally from within the last 12 months).

2.7 INVOLVING WORKERS IN HEALTH & SAFETY

2.7.1

Do your workers have regular opportunities to be involved in health and safety?

Please:

Attach your procedure or a description of your process for involving workers in health and safety. Attach 2 items of evidence of this happening in practice (e.g. copies of recent meeting minutes, diary notes where you have talked about safety, sections of meeting minutes where safety is discussed etc.)

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: All organisations must have worker engagement and participation practices, regardless of size, level of risk or the type of work carried out.

Worker participation practices are put in place so that workers can help to improve health and safety on an ongoing basis. These practices make it possible for workers to share ideas and information, raise issues, and contribute to decision-making on an ongoing basis.

Some form of worker participation could be:

- Operations or toolbox meeting minutes where health and safety is clearly discussed
- Health and safety meeting minutes or team briefings.
- Worker involvement in development of procedures and policies.
- Worker suggestions considered regarding health and safety initiatives.

This question is looking for your process/procedure outlining how you ensure worker participation in health and safety matters as well as evidence of participation taking place.

For smaller organisations where the only workers may be the organisation's owners, formal meetings may not take place. Health and safety should still be a discussion point but if your process is informal, please explain in a document and upload any recent health and safety discussions you may have had.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure or process which outlines worker participation and expectations around involvement in health and safety.
 - 2x examples of worker participation in health and safety taking place.
 - Evidence should be recent (ideally from within the last 6 months).
 - Meeting attendees must be clearly shown/signed onto the minutes to indicate attendance.
 - Outstanding issues should be assigned, actioned, and closed out where applicable.
-



2.8 TRAINING

2.8.1

Do you have a process/procedure that ensures the provision of any required training for workers?

This may include:

1. On the job training: e.g. SOP training, competency assessments
2. Trade certification: e.g. electrical, plumbing, carpentry, mechanics, welding, etc.
3. Licences e.g. forklift: crane, scaffolding, heavy transport, asbestos etc.
4. Specialist training: e.g. confined space entry, work at heights, permit receiving, isolations, excavation etc.
5. Health and Safety: H&S representative, supervisors, construction passports, first aid etc.

Please:

Attach your training procedure or a description of your process.

Attach your training register (or similar summary of training undertaken by workers including currency).

Note: Assessors will be looking for relevant training based on your work activities (e.g. work at heights training if you do work at height or confined space entry training if you do confined space entry etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst most organisations should have some form of health and safety training in place (even if this is first aid, fire warden training etc.) certain allowances may be made for small home-based companies or smaller offices. If so, please mark this question as N/A and explain. Note: Induction training is covered in its own question below.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A training procedure helps to ensure workers have the skills and/or are developing skills and knowledge that relate to the management of hazards and risk in their workplace. The procedure may contain internal and or external training.

A training procedure will typically include:

- The specific types of training required i.e. role specific licenses, qualifications, first aid, in-house competency assessments etc.
- Who carries out this training (internal and/or external)
- How competency will be determined
- How training will be recorded (training register) and kept current

This question is looking for your training process/procedure and a current training register.

General Scoring Criteria: To score well in this question you will need to provide:

- A non-generic training process/procedure that relates to your organisation and work activities (i.e. not just state generally that training shall be given).
- The training procedure should outline the information in the Question Help
- A register which shows the training, qualifications, licenses etc. of each worker including the date training was provided and the expiry/refreshers should there be a refresher component required.
- Competency assessments may be accepted in lieu of a training register where specific licenses/qualifications are not required.

2.8.2

Do you have a process/procedure to manage refresher training requirements? i.e. competency, licence, and certification refresher requirements to ensure currency.

Note: Assessors are looking for your process/procedure not your training register requested in the question above.

Please attach a copy of your refresher training procedure or description of the process you use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst we would expect that most forms of training would have a refresher component, either due to official certification expiry or regular internal refresher training, certain allowances may be made where the organisation clearly does not require training/associated refresher components. If so, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: The aim of a refresher training procedure is to ensure there is a process for the renewal or refreshing of training. This can include in-house training and competencies, as well as external certification or licences.

This question is looking specifically for a process/procedure. A training register will not satisfy question requirements.

A refresher training procedure should generally cover:

- How refresher training is managed (by who, how).
- Your process for undertaking refresher training (internal/external).

If you are using an automated system or external providers from reminders, please ensure your procedure explains how this works to ensure refresher components are managed effectively.

General Scoring Criteria: To score well in this question you will need to provide:

- A refresher training procedure that outlines who is responsible for managing refresher training, how this is undertaken, any internal or external requirements, refresher training frequencies for any competency and/or other general training.

2.8.3

Do you have a worker health and safety induction programme?

Please:

Attach a copy of your induction content i.e. manual or booklet, power point, detailed induction form displaying induction coverage.

Attach 2 most recently completed inductions

Note: This question refers to induction of your own workers upon employment, not contractors or clients.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your organisation's structure. If your only internal workers are both/all owners of the organisation, we would not expect those individuals to be inducted to their (your) own organisation. If this is the case, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An induction programme introduces a worker to their workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including the hazards, risks and controls in their workplace.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Employer/Employee responsibilities
- Injury management process
- Communication systems for Health and Safety
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both inductee and inductor) induction forms and the content covered in the induction e.g. worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x most recently completed induction forms (signed, dated by worker and employer)
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

Contractors who score well, often have a quiz or questionnaire included as part of the induction process. Whilst this is not required for a Category 1 contractor it does demonstrate a commitment to best practice and may be taken into consideration by your assessor.

2.9 PLANT, EQUIPMENT & VEHICLES

2.9.1

Do you have a process/procedure for the maintenance, testing and/or calibration of equipment you use?

Note: This would include items such as lifting equipment (slings, strops, lifting devices), safety equipment (travel restraint/fall arrest systems, respirators, SCBA, rescue tripods), test equipment (electrical meters, gas detectors), tag/testing of electrical leads etc.

Please:

Attach your testing and calibration procedure or description of your process.

Attach 2 items of evidence indicating regular test/calibration in practice (i.e. photos of current test/tagging, calibration tags, service invoices etc.)

Attach copies of your maintenance/testing/calibration registers.

Note: Assessors will consider the activities you undertake and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable based on your work activities or areas of work. Whilst most organisations will have some form of process i.e. tag and test as a minimum, if N/A is applicable, mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment that you use, to keep it in a safe working condition.

An equipment maintenance procedure will typically include the following:

- Identification of what equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (i.e. equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current test/calibration tags, service records/external testing registers etc.

A test/calibration register will show your complete inventory of equipment/items that require testing and calibration, the dates when testing was undertaken and any re-testing dates.

Note: We would expect most organisations to have a test and tag process in place for electrical items and general offices spaces (excluding small home offices etc.). We acknowledge this is not a legal requirement but is generally expected for best practice and viewed as a significant control for risk management.

General Scoring Criteria: To score well in this question you will need to provide:

- A testing and calibration procedure that covers off expectations listed in the Question Help.

- 2x pieces of evidence that demonstrates that your procedure/process is being implemented.
- A testing and calibration register showing your complete inventory with clear test and re-test dates.
- Evidence will indicate that testing/calibration dates are current.

2.9.2

Do you have a process/procedure for planned preventative maintenance to keep your mobile plant (e.g. forklifts, scissor lifts, diggers etc.) and vehicles (e.g. company cars, utes, vans, trucks etc.) safe and fit for use?

Note: This includes borrowed or hired plant and vehicles.

Please:

Attach your mobile plant/vehicle maintenance procedure or a description of your process.

Attach 2 items of evidence indicating regular maintenance in practice (i.e. pre-start checks, service records etc.)

Attach your maintenance/inspection register/s.

Note: Assessors will consider the activities you undertake, and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable if you do not have any mobile plant/equipment or company vehicles owned OR leased by your organisation. If this is the case, please mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process to keep work vehicles and mobile plant (e.g. forklifts, scissor lifts) safe and fit for use.

A mobile plant maintenance procedure will typically include the following:

- Identification of what mobile plant and equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment (e.g. vehicle services, WOF etc)
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current WOF and Rego or service records and pre-starts etc.

A vehicle/mobile plant register is used to effectively monitor and track servicing dates and to ensure planned, preventative maintenance is undertaken in a timely manner. You may use an excel spreadsheet or an online tracking system such as EROAD.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that covers off expectations listed in the Question Help.
- Inclusion of a process/consideration for hired or borrowed vehicles and mobile plant where relevant.
- 2x pieces of evidence of your procedure/process in practice i.e., service invoices, pre-start checks etc.
- Your vehicle/mobile plant register detailing servicing dates and scheduled maintenance for your fleet.

2.10 CONTRACTOR MANAGEMENT

2.10.1 Do you engage contractors (sole traders or organisations) as part of your delivery of services to your client/s?

Answer Options: YES, NO

Note: If you answer 'NO' to this question, the rest of the questions in this section will be hidden from view.

Question Help: *This question is non-scoring.*

If you engage any contractors, regardless of the type of contractor, please answer this question as 'YES'. If you don't engage any contractors simply answer this question 'NO'.

2.10.2 Please provide a brief description of how you engage contractors to assist you in delivering work to your clients. Please ensure to include the following in your response:

- 1) The number of contracting organisations/companies you typically use (i.e. "We engage 8 organisations to assist with delivering services to our clients").
- 2) Excluding contractors from organisations indicated above, give an approximate number of individuals you typically use (i.e. "We use up to 12 Sole Traders/Labour Only Hire individuals").
- 3) An indication of how frequently you use contractors (i.e. "We use contractors on a weekly basis").

(free text answer)

Note: If you clearly only engage Sole Traders or Labour Only Hire as contractors, please indicate this in your response and mark the rest of the questions in this section as N/A. Assessors will make it clear on your report for clients to see that you don't engage contractors (other than Sole Traders and Labour Only Hire) and that you have not been assessed against contractor management questions in this section. It is important that you accurately represent your contractor use to your clients to ensure appropriate engagement opportunity.

Question Help: *This question is non-scoring.*

This question is trying to establish what type of contractors you use. The type of contractors will determine how you need to answer the following questions. It is important that you provide the details we are asking for here so an assessor can make an informed decision about how to represent your organisation to your client in your prequalification report. Misrepresentation here may require you to be re-assessed against these questions at a client's request. This will incur a fee.

2.10.3

Do you have a process to prequalify your contractors?
Please attach evidence of 1 completed contractor prequalification.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Trader or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required health and safety systems and capabilities to keep people safe when working for you.

A prequalification assessment will generally check the following areas of your contractors:

- Management and commitment
- Work procedures and documentation
- Training and licenses
- Hazard management
- Incident management
- Plant and equipment management
- Monitoring and auditing
- Prosecutions
- Insurances
-

A prequalification is generally a questionnaire type document that requires evidence to be submitted, reviewed, and assessed by your internal health and safety resource. Depending on how the contractor performs with the assessment (quality of evidence and subsequent outcome) will determine if you are comfortable with using this contractor on your site.

Note: It is acceptable practice to use an external prequalification service (such as IMPAC PREQUAL) to undertake your prequalification assessments on your behalf. If this is your process, please provide an externally completed prequalification of one of your contractors.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed contractor prequalification clearly showing; contractor organisation name, the questioning the contractor is required to answer, sign off/approval.
- Your prequalification will require submission of evidence by the contractor for assessment.
- There should be a good level of questioning, generally aligning with the Question Help at minimum.
- Evidence should be no more than 2 years old.

2.10.4

Do you have a process to induct your contractors?

Please attach 1 completed contractor induction. Evidence should include induction content.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Trader or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: A contractor induction programme introduces a contractor into your workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including hazards, risks, and controls.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Contractor responsibilities
- Injury management process
- Communication
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both contractor and inductor) induction forms and the content covered in the induction e.g., worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 1x most recently completed induction (signed, dated by contractor and employer)
- Induction will clearly show what organisation the contractor is from
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

2.10.5

Do you have a process to inspect/monitor your contractors health and safety activity on the job?

Please attach evidence of 1 completed contractor inspection.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Trader or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations. This will be undertaken whilst work is in progress.

Note: This does not refer to a behavioural observation inspection on its own.

If your contractor inspections are undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified (organisation name).

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed contractor inspection (clearly identifying contractors being inspected).
- Inspection items should be relevant to your contractors work areas/activities.
- The inspection should be recent (ideally from within the last 12 months).
- Any corrective actions should be noted down on the inspection with actioning/follow up and sign-off clearly identified to track and rectify any issues.

2.10.6

Do you have a process to ensure that your contractors hold or are involved in health and safety meetings/discussions i.e., pre-start meetings?

Please attach evidence of 1 health and safety meeting, pre-start, JSA or similar, where contractors have had opportunities for involvement in health and safety.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Trader or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: Shift or daily pre-start meetings are held at a team level at the start of each day or shift to discuss the planned operations and requirements, including those relating to health and safety. Often contractors will attend a wider meeting of contractors.

Evidence of attendance to either wider pre-start meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your workers) have attended these meetings.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x pre-start meeting (or similar) with discussed health and safety content
- The minutes should be specific to the activities being undertaken on site that day
- Contractors (organisation name) must be clearly displayed.
- The evidence should be recent (ideally from within the last 12 months).
- Dated and signed by those in attendance.

2.10.7

Do you have a process to provide your contractors with post-contract health and safety feedback/reviews?

Please attach evidence of 1 completed post-contract contractor review.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Trader or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: Post-contract health and safety reviews are either held with or provided to contractors after a project or a significant piece of work has been completed, or periodically. They help to improve contractor performance in the future by evaluating how effectively health and safety was integrated into the key stages of a project (i.e. what worked well and what needs improvement).

Note: These may be undertaken as part of a wider post-contract review incorporating i.e., quality, environmental, financial etc. For this prequalification, we only need to see the health and safety component.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 1x completed post-contract health and safety review (clearly displaying contractor name).
- The review will focus on both positive observations and improvement opportunities.
- The evidence should be recent (ideally from within the last 12 months).
- There should be acknowledgement that the contractor has sighted and signed the review.



2.11 SAFETY PERFORMANCE

2.11.1

Has your organisation been prosecuted and convicted for an offence under the Health and Safety at Work (HSAW) Act 2015 in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what you were prosecuted for, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the prosecution/s.

Answer Options: YES, NO

Question Help: This is only a scoring question if you have been prosecuted. Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s.

2.11.2

Has your organisation received a Prohibition, Infringement or Improvement Notice issued under the Health and Safety at Work (HSAW) Act 2015 within the last 5 years?

Note: Any notices issued by WorkSafe, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA)?

If Yes, please:

Attach a copy of each notice and a clear outline of the corrective actions you put in place to prevent the situation/s happening again.

Answer Options: YES, NO

Question Help: This is only a scoring question if you have been received a prohibition, infringement, or improvement notice. Your score in this area will reflect what you have done to rectify the issues relating to the notice/s.

2.11.3

Has your organisation been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years?

If Yes, please:

Attach a copy of all investigation reports (or other documents outlining why you were investigated) and a clear outline of the corrective actions you put in place to control the situations and prevent them happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the investigation/s.

Answer Options: YES, NO

Question Help: This is only a scoring question if you have been investigated by an enforcement agency. Your score in this area will reflect what you have done to rectify the issues relating to the investigation.

2.11.4

Has your organisation ever been prosecuted and convicted for an offence, received infringement notices, or been investigated by an enforcement agency under the Resource Management Act or other environmental regulation or bylaw in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what the issue was, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issue/s

Answer Options: YES, NO

Question Help: This is only a scoring question if you have been prosecuted or convicted for an environmental offence. Your score in this area will reflect what you have done to rectify the issues relating to the offence.

2.11.5

Have you or your workers been recognised by clients or other external bodies for health and safety excellence, innovation, or problem solving etc. in the last 5 years?

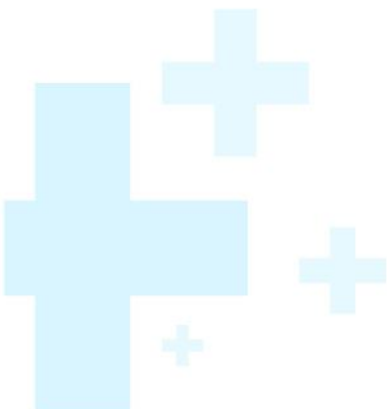
If Yes, please:

Attach a description of the award/recognition.

Attach evidence e.g. safety award, certificate, write up, or similar.

Answer Options: YES, NO

Question Help: This is a non-scoring question meant for information purposes only.



SECTION 3: INSURANCE

3.1 INSURANCE

Question Help: *Insurances are non-scoring.*

For your certificate of currency to be accepted it must:

- Display your company name
- Be current at the time of assessment
- Display the amount of coverage (usually whole rounded numbers i.e. \$10,000,000)
- Be signed and dated by your insurance provider (some exceptions if evidence is non-editable and printed on recognised providers header) At your request, your insurance provider will be able to supply you with your appropriate certificate of currency.

PLEASE NOTE: *We cannot accept payment/remittent invoices, we need to see the current insurance certificate. If your insurance is paid for monthly, we will accept the certificate if it is valid for the month your prequalification was submitted and make note to clients to check for active insurance upon engagement.*

Do you hold motor vehicle insurance (third party liability) for airside activities (airport work only)?

If Yes, please:

Enter the dollar amount of cover you have for your airside motor vehicle insurance.

Enter the expiry date of your airside motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold motor vehicle (third party liability) insurance?

If Yes, please:

Enter the dollar amount of cover you have for your motor vehicle third party liability insurance.

Enter the expiry date of your motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold general Public or Products Liability Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your general Public or Products Liability insurance.

Enter the expiry date of your general Public or Products Liability insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

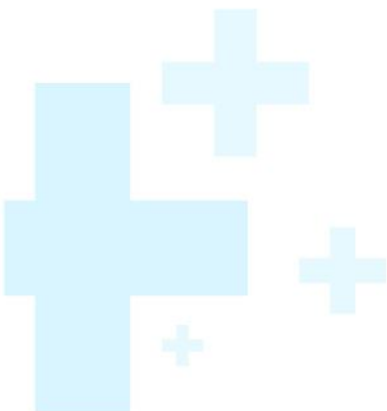
Do you hold Professional Indemnity Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your Professional Indemnity insurance.

Enter the expiry date of your Professional Indemnity insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.



Category 2 Questionnaire

CATEGORY DEFINITION

Category 2	Small contractor	You are a Category 2 contractor if you are engaged by the main contractor or directly by your client and have 6 to 15 employees. You may also engage contractors (either sole traders or larger contracting organisations).
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Please Note:

This copy of the questionnaire contains all the possible questions you could be asked. There may be questions that are not released to you in your online application based on the work activities you undertake.

If your application is a renewal, please check all your registration details are current to ensure you are in the correct category.

Assessment Scoring:

PREQUAL has improved our assistance to contractors during the prequalification process. As part of our service offering, we have included better **Question Help**, to aid your understanding of what evidence we expect for each question, and **General Scoring Criteria** to be clear about what we are (generally) looking for as a minimum to score full marks (a 4) for each question. It is important to remember that PREQUAL is a pan-industry prequalification. This means that whilst we have tried our best to succinctly summarise what we typically expect for each question, there will always be exceptions to these requirements.



BUSINESS OVERVIEW

Please provide a description of your organisation and set up.

For example, the key services you deliver, your primary work areas, any recent changes to your organisation especially if you have grown considerably or acquired other companies. This is also a space to explain any parent company/subsidiary/franchise type set ups you may be part of especially if you operate under the same centralised health and safety management system of a bigger franchisor/organisation. The more detail you provide here the better our assessment will be against your organisation's context.

(free text answer)

Question Help: *This question is non-scoring.*

What we are trying to ascertain here is who you are as an organisation, what your primary work activities are, how your health and safety management system is applied across your organisation and any recent changes that we should be aware of that may affect how your assessment is marked. The more information we have about your unique structure, the better our assessment against your organisation will be, leading to clearer outcomes for targeted continual improvement and better representation to your client for potential engagement opportunities.

SECTION 1: HEALTH & SAFETY MANAGEMENT SYSTEM CERTIFICATION

1.1

PREQUAL recognises the following Health and Safety Management System audit certifications.

- ACC Accredited Employer Partnership Programme (AEP)
- ISO 45001
- AS/NZS 4801
- OHSAS 18001

Does your organisation hold one of the above audit certifications?

Note: Certification must be current at the date of submission and from a registered provider.

View "Help" for more information.

Please attach a copy of your current HSMS audit certification.

Answer Options: YES, NO

Question Help: *This question is non-scoring.*

HSMS Audit Certification Acceptance:

Certification should cover and indicate the New Zealand division of any international organisation (exceptions may be made for some businesses. If you are unsure, please contact us)

Excluding ACC (AEP), certification must be from a JAS-ANZ registered accredited provider OR an accredited provider that falls under IAF (International Accreditation Forum) regulation.

If certifying body where you have obtained your Health and Safety Management Certification is not registered with either JAS-ANZ or IAF, we will unfortunately not be able to accept your certificate.

You will not be penalised for not having a current certification. If you don't hold a current certification, you will just have visibility of and be required to answer all assessment questions.

To check if your certifying body is an accredited provider, please see;

- <https://register.jas-anz.org/accredited-bodies> (for New Zealand)
- <https://iaf.nu/en/recognised-abs/> (for international providers)

SECTION 2: HEALTH & SAFETY

2.1 HEALTH & SAFETY MANAGEMENT & COMMITMENT

2.1.1

Do you have a health and safety policy statement?

Note: We are not looking for your entire Health and Safety Manual for this question.

Please attach a recently signed and dated copy of your organisation's health and safety policy statement.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety policy statement sets out your approach, commitment, and intentions to workplace health and safety and should be accessible to the relevant workers, visitors, and other stakeholders. It is generally a one – two-page document and should be signed by the PCBU/top management.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A health and safety policy statement with a good outline of clear legislative and organisational expectations for example:

Commitment to comply with relevant legislation and good practice.

Commitment to consult with employees in managing health and safety.

Referral to responsibilities of all involved in the organisation in creating a safe healthy environment.

- A health and safety policy statement that has been signed and dated within the last 2 years. A health and safety policy statement that has been clearly signed by the organisation's Owner, Managing Director, CEO etc.

2.1.2

Are H&S accountabilities/responsibilities allocated to positions within your organisation?

Please attach evidence of these responsibilities being allocated (e.g. copies of job/position descriptions with specific H&S responsibilities included, or an excerpt from your H&S manual).

Note: Please ensure any personal identifiers are removed where necessary.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: This question is looking to see if health and safety accountabilities/responsibilities, specifically, have been allocated to individuals who hold key positions within your organisation. Job descriptions for named persons/roles should outline key health and safety expectations and describe who is responsible for various health and safety activities (e.g. planning, management, hazard and risk management etc).

Whilst these accountabilities/responsibilities may be listed in a specific role description, they may also be outlined in your health and safety management system/plan. Either is acceptable as evidence. We would advise you to give us upper management accountabilities/responsibilities because there is an expectation that an organisation is aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

General Scoring Criteria: To score well in this question you will need to provide:

- Minimum of 2x job/role descriptions outlining all of the health and safety accountabilities/responsibilities assigned to those roles

OR

- A excerpt from your health and safety management plan detailing different roles and their health and safety accountabilities/responsibilities.

The descriptions should have:

- An appropriate level of responsibility assigned to each role
- Non-generic accountabilities/responsibilities
- Accountabilities/responsibilities should be for upper management roles

2.1.3

Are H&S issues regularly monitored by management?

Please attach your process or a description of how management monitors health and safety issues (including frequency)

OR

Attach 2 items of evidence showing H&S issues being monitored by management (e.g. meeting minutes).

Answer Options: YES, NO

Question Help: Regular health and safety monitoring is important for organisations to stay on top of issues that are presenting themselves and to ensure that if issues are present, they are suitably identified and managed. Note: Health and safety issues are not limited to just health and safety incidents, they could include management limitations, process issues etc.

Evidence by way of a description should outline how you systematically manage health and safety issues as they arise. For example, how they are recorded, monitored, the frequency, and how follow up actions take place.

If you are providing evidence by way of meeting minutes (or similar) we will need to see an actual description of the issue/s that have arisen and a clear outline of what was done to resolve them.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A clear description of how management monitors health and safety issues. This should include how issues are recorded, the frequency, and how follow up actions take place.

OR

- 2x meeting minutes (or similar) that clearly show issues being discussed and monitored by your organisation. Minutes will include a description of the issue/s, assignment of actionable outcomes and what was done to resolve the issue/s.

Evidence should be recent (ideally from within the last 6 months).

2.1.4

Who provides your company with health and safety advice and support e.g. Internal Health and Safety Advisor/Manager or External Consultant? (free text).

Include the following in your answer:

1. The name of the individual (internal or external) or external organisation.
2. The health and safety qualifications of the individual (internal or external) or of key people within the external organisation.
3. The level of health and safety experience of the individual (internal or external) or of key people within the external organisation.

(free text answer)

Question Help: This question is asking you if you receive regular/ongoing (not one off) qualified health and safety advice from either an internal or external health and safety professional/s (individual OR organisation). If you receive advice from an organisation with multiple individuals, please provide the names, years of experience and qualifications from those individuals you have dealt with.

Weighting is placed on the level of qualification, but absence of qualification with industry experience (number of years) may be considered for a lower score.

Note: We undertake due diligence checks to ensure any named individual/s hold the indicated qualification/s. We have an obligation to report suspected instances of false qualification held by a health and safety professional.

General Scoring Criteria: *To score well in this question you will need to provide:*

- The name/s of an individual/s and their specific health and safety qualifications (scoring will decrease as an individual/s hold a lesser level health and safety qualification – in line with New Zealand Qualifications Framework. To score a 4 requires a level 8 qualification).
- The number of years of specific health and safety related work experience the individual/s have.

2.2 SAFE WORK PROCEDURES & PRACTICES

2.2.1

Do you produce and implement Standard Operating Procedures/Safe Work Procedures relating to the work you undertake?

Please attach 2 current examples.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.

Question Help: SOP's/SWP's (Safe Work/Operating Procedures) are procedures that are in place to describe how to carry out standard tasks in a consistent and safe manner. They are commonly used for on-the-job training and are about standardised activity with limited to no potential for variation. They include a step-by-step guide to use a specific piece of equipment or to carrying out a specific task and include the hazards and risks involved and the controls to prevent harm.

They do not refer to generic safety procedures such as personal protective equipment management, generic chemical handling, or workplace inspections and are not to be confused with a Job Safety Analysis (JSA) as these are typically applied where the approach to the work activity, or the environment in which it is carried out, has the potential for variation.

SOP's/SWP's should be developed internally or specifically for your organisation. Whilst using industry standards, code of practice etc. may be applicable in some instances, this prequalification is assessing your ability to develop and implement your own internal instructions and procedures to ensure that information is directly relevant to your operations.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x different SOP's/SWP's that are relevant to your organisation and the work activities you undertake.
- An appropriate level of detail that outlines the steps required to undertake the task/use the piece of equipment.
- Identification and appropriate controls for hazards/risks that are likely to be encountered including PPE to be worn.

2.2.2

Do you have a process/procedure to periodically review your Standard Operating Procedures/Safe Work Procedures referred to in the question above?

Please describe how this is done, when and why you do this.

	<p>(free text answer)</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.</p>
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Question Help: SOP/SWP review refers to how, when, and why you review your work instructions i.e., by what means, what time intervals, what may require you to review your work instructions and who this is done by. This question is looking for you to describe the process you follow to ensure that SOP's/SWP's remain current and fit for purpose.

General Scoring Criteria: To score well in this question you will need to provide:

- A description that clearly explains how you review your SOP's/SWP's, the frequency of these reviews, and the reasons why review may be required. A score will be based on how well your answers here adheres to best practice.

2.2.3	<p>Are you required to develop Site Specific Safety Plans (SSSP's) when working for clients?</p> <p>Please attach 1 recently completed SSSP.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities and/or you may not be required to produce SSSP's for your client/s for the work you do. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A Site Specific Safety Plan (SSSP) is a document showing how health and safety is to be managed for a given project or service. SSSP's are more likely to be completed for long duration or complex work. SSSP's typically cover:

- H&S Structure and Responsibilities
- Methods of communicating H&S
- Hazard and risk management processes including site risk register
- Management of contractors/subcontractors
- Training and competency including induction
- Incident reporting and investigation
- Emergency response
- Audit and inspection
- Site specific project methodology should be included to ensure the plan does not appear generic

For the purposes of assessment, a signed off / working SSSP is required. This means the SSSP has been signed by both contractor (yourself) and client to agree it is approved for use.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed SSSP which (generally) includes the sections outlined in the Question Help.
- Evidence the SSSP has been signed or approved internally and by the client.

- Evidence should be from within the last 2 years.

2.3 RISK MANAGEMENT

2.3.1

Do you have a procedure or process for identifying, controlling, and reviewing hazards/risks within the workplace?

Please:

Attach your hazard/risk management procedure or a description of your process.

Attach 2 items of evidence of your process/procedure in practice.

Attach your Hazard/Risk Register.

Examples of evidence include:

1. Completed hazard identification, job safety analysis, task analysis forms
2. Reports of new hazards in meeting minutes etc.
3. Hazard report forms

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A hazard/risk management procedure or process will describe how your organisation systematically identifies hazards, assesses their risk, and applies a 'hierarchy of control' to manage this risk. It will also describe how these hazards/risks and controls are monitored and reviewed (how, who by, frequency).

A hazard/risk register will display all hazards/risks that you have identified within your workplace showing the controls you have established to minimise or reduce the likelihood of those hazards/risks occurring or causing significant harm. Assessors check to see that expected hazards/risks are identified and align with your work activities.

To support this question, evidence in practice should clearly show hazards/risks being identified and controlled. This could be through the use of hazard report forms or could be evidence such as a completed JSA, Task Analysis, Hazard ID etc. where we can see you have the knowledge of how to identify hazards/risks for a piece of work/task and apply appropriate control measures.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazard/risk management procedure/process that aligns with best practice i.e., how to identify, risk assess, control, monitor, record, and review hazards/risks.
- A non-generic hazard/risk register that identifies hazards/risks that align with your specific work activities. This should cover your entire organisation i.e., not just a hazard/risk register for a specific job or location in your workplace.
- Clear periodic review and monitoring of hazards/risks.
- Appropriate and critically thought-out controls.

- 2x pieces of evidence of your procedure/process in practice i.e., completed hazard report forms, discussion and control of new hazards identified in meeting minutes, JSA's (or similar) showing you can apply hazard/risk management processes.
- Evidence should be from within the last 2 years.

2.3.2	<p>Do you complete JSAs (Job Safety Analysis - also referred to as a Task Analysis) for the work you do?</p> <p>Note: A JSA is not just a list of hazards/risks. A JSA should outline the sequence of steps required to undertake a piece of work/task and the hazards/risks associated with each step. The controls to manage these hazards/risks should also be identified.</p> <p>Please attach 2 recently completed JSAs.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake physical works and/or you may not be required to produce JSA's for the type of work you do. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A JSA will identify the steps of a task or job and the hazards/risks and controls associated with each step. A well completed JSA will clearly show the environmental situations and that it has been reviewed by those undertaking the work on site. For the purposes of assessment, the JSA will need to be signed and dated by all those involved on site.

Note: If your JSA does not identify the steps required to complete a particular task or job and instead is just a list of hazards, assessors will send your evidence back in the resubmission. We are NOT just looking for a list of hazards.

A JSA is also different from an SOP/SWP. JSAs take into account varying environmental conditions within a task/job and are completed for specific site work.

The JSA does not necessarily need to be completed on your own organisation's JSA template. In some situations, you may be required to use your client's JSA document. In this instance you can supply a copy of this JSA but clear indication that this has been completed by your own workers needs to be visible i.e., names with organisation name printed next to them.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed JSAs (job steps identified, hazards/risks and controls in place, signed and dated by those undertaking the work)
- Evidence should be from within the last 2 years.
- Marks will be awarded for an appropriate break down of the job/task steps relative to the work being undertaken, appropriateness of controls etc.

2.3.3	<p>Do you have a procedure for managing the isolation (lockout-tagout) of live energy sources e.g. electrical equipment, moving machinery, hydraulics, live process lines etc?</p>
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Please attach your isolation (lockout-tagout) procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't undertake electrical works or work with equipment that would typically require the lock-out/isolation of stored energy

types. If this is the case, please mark this question as N/A and explain.

Question Help: An energy isolation procedure or process (also known as lockout-tagout) will ensure machinery or equipment is inoperable by the isolation of live energy sources to achieve a 'zero energy' state. This may include electrical, pneumatic, hydraulic, mechanical, live process lines and stored energy. Not all types of energy sources may be relevant to your organisation, but it is important to have a procedure or process for those types that are relevant.

The procedure or process should outline a set of predetermined steps to follow when workers are required to perform tasks such as inspection, maintenance, cleaning, repair, and construction to ensure the safety of those doing the work.

The isolation procedure or process should include information on:

- What types of machinery/equipment you have that requires isolation
- How to isolate energy sources and ensure a zero-energy state
- The use and placement of locks and tags
- Training and authorised personnel
- Removal of isolation/lockout-tagout
- Safe re-energisation

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that outlines the expected information listed in the Question Help
- A procedure relevant to the types of energy sources you are required to lockout-tagout



2.3.4

Do you have documented procedures for general emergencies e.g. fire, medical, earthquake, flood etc.?

Please attach a copy of your general emergency procedures.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: Your general emergency procedures should cover a wide range of natural and situational emergency scenarios (not just fire and earthquake). All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified emergency scenario. Lastly, we are not just looking for an evacuation plan.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected general emergency scenarios – both natural i.e. fire, flood, earthquake etc. and situational i.e. bomb threat, medical event etc.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

2.3.5

Do you have documented procedures for emergencies specifically related to the work activities you undertake e.g. confined space entry, heights rescue, chemical spill, working alone, electrocution, trench collapse etc.?

Note: For each activity specific emergency scenario we are looking for the actual steps that are to be followed in the event of an emergency, not just a document outlining the requirement to have a plan in place.

Please attach a copy of your work activity specific emergency procedures.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't undertake physical works that typically require specific emergency processes. If this is the case, please mark this question as N/A and explain.

Question Help: Your activity specific emergency processes should cover all emergency scenarios related to the specific work activities you undertake. All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event

occur, and this will be detailed for each identified activity specific emergency scenario. We are not just looking for a document that outlines the requirement to have a plan in place.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected activity specific emergency scenarios. When marking this question, assessors will be keeping mind your indicated work activities and hazards/risks you have identified.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

2.3.6	<p>Do you have a procedure/process for managing hazardous substances?</p> <p>Please: Attach your hazardous substance management procedure or description of your process. Attach any 2 current Safety Data Sheets (SDS) that are relevant to the substances you use. Attach a copy of your hazardous substance inventory.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't use or store hazardous substances. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A procedure for managing hazardous substances will describe what hazardous substances are present and how your organisation will manage any risk from the use, handling, and storage of hazardous substances.

The procedure should typically include:

- How you handle and where you store hazardous substances
- How you train workers in their safe use
- How you carry out any required monitoring of your people or their work area

Safety Data Sheets (SDS) are also required, and these must be less than 5 years old and include the standard 16 sections.

You must include your hazardous substances inventory. This inventory must contain the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazardous substances procedure that includes the information outlined in the Question Help.
- 2x different Safety Data Sheets that are less than 5 years old and contain 16 sections. These must be for products you use (i.e. we will check your hazardous substances inventory).
- A hazardous substances inventory that contains the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

2.3.7	<p>Do you provide personal protective equipment (PPE) to your workers?</p> <p>Describe what PPE you provide, how it is maintained, and how/when it is replaced. (free text)</p>
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Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based, not conducting onsite work etc. Whilst most organisations will have some form of PPE if N/A is applicable, mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: Personal protective equipment (PPE) refers to all protective clothing and equipment used by an individual whereby elimination or minimisation does not entirely remove risk. The hazards and risks addressed by PPE can include physical, electrical, heat, chemicals, biohazards, and airborne matter.

Disposable PPE should be included but if you only have single use PPE, we will naturally not expect a description for maintenance and replacement.

In your description please include:

- What PPE is needed for what work area and/or work activity?
- How PPE is maintained and checked
- How and when PPE is replaced

General Scoring Criteria: To score well in this question you will need to provide:

- A description detailing what PPE is provided, this PPE should be appropriate to the hazards/risks present in your working environment.
- A description detailing how PPE is maintained (i.e. cleaned/stored correctly) and checked.
- A description detailing how PPE is replaced and when (i.e. when may replacement be necessary).



2.4 HEALTH & WELLBEING

2.4.1

Does your organisation have any form of mental health and wellbeing support or training in place for workers?

Please describe the type of support, training, or initiatives that you have in place.

(free text)

Answer Options: YES, NO

Question Help: This question is asking if you provide your workers with mental health and wellbeing training or support. Training could be provided internally or externally i.e. Mental Health First Aid courses and forms of support could include paid for support programmes like EAP or similar counselling type services for workers who are struggling.

You may also have internal initiatives or strategies in place to manage the risks around mental health and wellbeing and facilitate a better working environment, if so please describe these.

General Scoring Criteria: To score well in this question you will need to provide:

- A clear indication of the type of training, support, or initiatives that your organisation implements for workers.
- Internal initiatives should clearly outline how the initiative helps workers.
- Any training should outline if the training is internal or external, what the course is and who it is offered by. Indicate who has received the training and the dates of completion.
- Support programmes i.e. EAP services should outline what the service is, who has access etc.

2.5 INCIDENT REPORTING & INVESTIGATION

2.5.1

Do you have an incident reporting and investigation procedure?

Please:

Attach your incident reporting and investigation process/procedure

Attach your incident register from the past year

Attach 2 completed incident report forms

Attach 2 completed incident investigation report forms

We will be looking for the following content in the procedure:

- How incidents are reported
- How you report Notifiable Events, Illness and Injuries to WorkSafe
- Notification of incidents internally and to your clients
- How you store incident records
- How it is ensured that corrective actions from investigations are completed.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident reporting and investigation procedure ensures that all incidents that do or have the potential to cause harm, are reported and investigated. This will lead to the review of controls if needed. In addition, they ensure legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- How incidents are recorded and who they are reported to
- Which incidents are to be investigated and by who
- The investigation processes
- How corrective actions are implemented
- How notifiable events are managed
- How and where incident records are stored

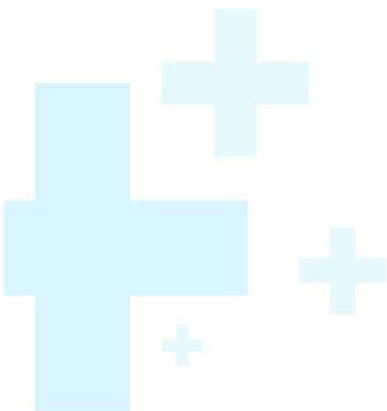
An incident register is generally where records are stored. This could be physical or digital with many online systems currently used to store this information. If you are using an online system, please export data or take screen shots for upload to your assessment.

Incident reporting forms should be completed to record and detail any incident/near miss that takes place within your workplace.

Note: A lack of working evidence to supply would generally indicate to us that incident reporting is not taking place, not that no incidents/near misses have occurred. If you do not have recent evidence, please provide evidence of any age. If, even with these exceptions, you have not had any incidents/near misses to report, please attach an explanation to suggest this and at minimum provide the incident reporting and incident register templates you would use.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure that outlines the information in the Question Help
- An incident register that shows all incidents/near misses that have been reported within your organisation for the past year.
- 2x completed incident reports.
- 2x completed incident investigation reports.



2.6 WORKPLACE AUDIT & INSPECTION

2.6.1

Do you conduct regular health and safety inspections of your work areas? (e.g. offices, work sites etc.)

Please:

Attach a description of how and when you do this (your process)

Attach 2 recently completed inspections

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work areas. Whilst most organisations should have some form of work area for inspection, certain allowance may be made for small home offices etc. If so, please mark this question as N/A and explain.

Question Help: Workplace inspections help prevent injuries and illnesses through frequent examination of the workplace and formally identifying and recording hazards/risks for corrective action. A formalised process is expected to identify, record hazards, and follow up with corrective actions. This can include offices, warehouses, vehicles, workshops or any site where work is performed.

Please note: A workplace inspection needs to include physical environment checks not just safe worker behaviour.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the process to undertake workplace inspections which will cover how inspections are undertaken and when (frequency).
- 1x completed workplace inspection.
- Inspection items should be relevant to your work areas/activities.
- The inspection should be recent (ideally from within the last 12 months).
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

2.6.2

Do you have a process/procedure for conducting regular audits of your own Health and Safety Management System?

Please:

Attach your HSMS audit procedure or a description of your process (include how often and who conducts these audits).

Attach 1 recently completed audit.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety management system audit (HSMS audit) is a process to periodically check your health and safety management system is effective and fit for purpose. This is not a workplace inspection that checks

physical conditions, or behaviours of individuals. It is a check that an effective health and safety management system is in place with systematic hazard and risk management and supporting processes.

An HSMS audit will ideally be conducted against all aspects of your management system to ensure that all sections and intended outcomes are being met/still relevant. At a minimum, a HSMS audit should include:

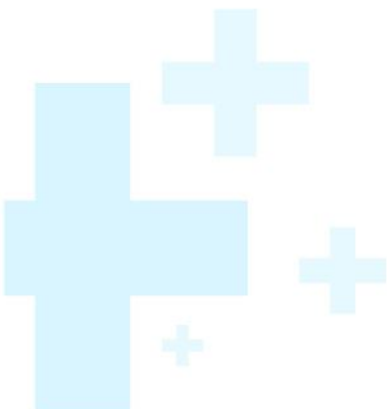
- Leadership and commitment
- Hazard identification, assessment and control
- Information, training and supervision
- Incident reporting, management and investigation
- Employee participation
- Emergency planning and readiness
- Contractor/subcontractor management
- Injury Management

Note: A prequalification is not an audit. A prequalification will cover off certain aspects/components of a health and safety management system but is not considered to be a full audit. Evidence of prequalification will not be accepted for this question.

It is accepted practice to have an external audit conducted on your health and safety management system. This process should be detailed in your procedure, and we will require the completed audit itself (including outcomes) to be provided for assessment purposes.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure outlining your audit process detailing who is responsible, audit frequency, how the audit is undertaken etc.
 - 1x completed health and safety management system audit.
 - Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.
 - Evidence should be no more than 18 months old.
-



2.7 INVOLVING WORKERS IN HEALTH & SAFETY

2.7.1

Do your workers have regular opportunities to be involved in health and safety?

Please:

Attach your procedure or a description of your process for involving workers in health and safety.
Attach 2 items of evidence of this happening in practice (e.g. copies of recent meeting minutes, diary notes where you have talked about safety, sections of meeting minutes where safety is discussed etc.)

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: All organisations must have worker engagement and participation practices, regardless of size, level of risk or the type of work carried out.

Worker participation practices are put in place so that workers can help to improve health and safety on an ongoing basis. These practices make it possible for workers to share ideas and information, raise issues, and contribute to decision-making on an ongoing basis.

Some forms of worker participation could be:

- Operations or toolbox meeting minutes where health and safety is clearly discussed.
- Health and safety meeting minutes or team briefings.
- Worker involvement in development of procedures and policies.
- Worker suggestions considered regarding health and safety initiatives.

This question is looking for your process/procedure outlining how you ensure worker participation in health and safety matters as well as evidence of participation taking place.

For smaller organisations where the only workers may be the organisation's owners, formal meetings may not take place. Health and safety should still be a discussion point but if your process is informal, please explain in a document and upload any recent health and safety discussions you may have had.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process which outlines worker participation and expectations around involvement in health and safety.
- 2x examples of worker participation in health and safety taking place.
- Evidence should be recent (ideally from within the last 6 months).
- Meeting attendees must be clearly shown/signed onto the minutes to indicate attendance.
- Outstanding issues should be assigned, actioned, and closed out where applicable.

2.7.2

Do your workers carry out shift/daily pre-start meetings (or similar)?

Please:

Attach your process or a description of how this is done.

Attach 2 items of evidence of this happening in practice (e.g. recent pre-start meeting minutes, diary notes, or records of attendance, daily JSA sign off etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. The type of meetings we are looking for here a daily pre-start meetings which are held each day (typically on a work site) before a job starts. Evidence could also be sign on to a JSA where workers have read over or acknowledged the hazards/risk of the day etc. We are not looking for general health and safety meeting minutes (requested in the question above). If you do not undertake on site work, this question may not be applicable, if so please mark N/A and explain.

Question Help: Shift or daily pre-start meetings are held at a work team level at the start of each day or shift to discuss planned operations and requirements, including those relating to health and safety. Daily pre-start meetings are not to be confused with general health and safety meetings which are usually held with all workers and at a frequency less than daily.

Where possible, we recommend submitting consecutive daily pre-start meeting minutes to show that these meetings are held regularly. For the purposes of this prequalification, we also accept JSA type documents that outline the risks, controls, health and safety information and any specific conditions on site. These types of documents must be signed onto by those undertaking the work to acknowledge their understanding and sighting of the information.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x daily pre-start meetings (or similar) displaying health and safety discussion content and worker involved.
- Evidence should be recent (ideally from within the last 6 months).
- General health and safety meeting minutes (less frequent than shift/daily) will not be accepted as evidence.



2.8 TRAINING

2.8.1

Do you have a process/procedure that ensures the provision of any required training for workers?

This may include:

1. On the job training: e.g. SOP training, competency assessments
2. Trade certification: e.g. electrical, plumbing, carpentry, mechanics, welding, etc.
3. Licences e.g. forklift: crane, scaffolding, heavy transport, asbestos etc.
4. Specialist training: e.g. confined space entry, work at heights, permit receiving, isolations, excavation etc.
5. Health and Safety: H&S representative, supervisors, construction passports, first aid etc.

Please:

Attach your training procedure or a description of your process.

Attach your training register (or similar summary of training undertaken by workers including currency).

Note: Assessors will be looking for relevant training based on your work activities (e.g. work at heights training if you do work at height or confined space entry training if you do confined space entry etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst most organisations should have some form of health and safety training in place (even if this is first aid, fire warden training etc.) certain allowances may be made for small home-based companies or smaller offices. If so, please mark this question as N/A and explain. Note: Induction training is covered in its own question below.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A training procedure helps to ensure workers have the skills and/or are developing skills and knowledge that relate to the management of hazards and risk in their workplace. The procedure may contain internal and or external training.

A training procedure will typically include:

- The specific types of training required i.e. role specific licenses, qualifications, first aid, in-house competency assessments etc.
- Who carries out this training (internal and/or external)
- How competency will be determined
- How training will be recorded (training register) and kept current

This question is looking for your training process/procedure and a current training register.

General Scoring Criteria: To score well in this question you will need to provide:

- A non-generic training process/procedure that relates to your organisation and work activities (i.e. not just state generally that training shall be given).
- The training procedure should outline the information in the Question Help

- A register which shows the training, qualifications, licenses etc. of each worker including the date training was provided and the expiry/refresher should there be a refresher component required.
- Competency assessments may be accepted in lieu of a training register where specific licenses/qualifications are not required.

2.8.2

Do you have a process/procedure to manage refresher training requirements? i.e. competency, licence, and certification refresher requirements to ensure currency.

Note: Assessors are looking for your process/procedure not your training register requested in the question above.

Please attach a copy of your refresher training procedure or description of the process you use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst we would expect that most forms of training would have a refresher component, either due to official certification expiry or regular internal refresher training, certain allowances may be made where the organisation clearly does not require training/associated refresher components. If so, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: The aim of a refresher training procedure is to ensure there is a process for the renewal or refreshing of training. This can include in-house training and competencies, as well as external certification or licences.

This question is looking specifically for a process/procedure. A training register will not satisfy question requirements.

A refresher training procedure should generally cover:

- How refresher training is managed (by who, how).
- Your process for undertaking refresher training (internal/external).

If you are using an automated system or external providers from reminders, please ensure your procedure explains how this works to ensure refresher components are managed effectively.

General Scoring Criteria: To score well in this question you will need to provide:

- A refresher training procedure that outlines who is responsible for managing refresher training, how this is undertaken, any internal or external requirements, refresher training frequencies for any competency and/or other general training.

2.8.3

Do you have a worker health and safety induction programme?

Please:

Attach a copy of your induction content i.e. manual or booklet, power point, detailed induction form displaying induction coverage.

Attach 2 most recently completed inductions

Note: This question refers to induction of your own workers upon employment, not contractors or clients.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your organisation's structure. If your only internal workers are both/all owners of the organisation, we would not expect those individuals to be inducted to their (your) own organisation. If this is the case, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An induction programme introduces a worker to their workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including the hazards, risks and controls in their workplace.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Employer/Employee responsibilities
- Injury management process
- Communication systems for Health and Safety
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both inductee and inductor) induction forms and the content covered in the induction e.g. worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x most recently completed induction forms (signed, dated by worker and employer)
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

Contractors who score well, often have a quiz or questionnaire included as part of the induction process.

2.9 PLANT, EQUIPMENT & VEHICLES

2.9.1

Do you have a process/procedure for the maintenance, testing and/or calibration of equipment you use?

Note: This would include items such as lifting equipment (slings, straps, lifting devices), safety equipment (travel restraint/fall arrest systems, respirators, SCBA, rescue tripods), test equipment (electrical meters, gas detectors), tag/testing of electrical leads etc.

Please:

Attach your testing and calibration procedure or description of your process.

Attach 2 items of evidence indicating regular test/calibration in practice (i.e. photos of current test/tagging, calibration tags, service invoices etc.)

Attach copies of your maintenance/testing/calibration registers.

Note: Assessors will consider the activities you undertake and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable based on your work activities or areas of work. Whilst most organisations will have some form of process i.e. tag and test as a minimum, if N/A is applicable, mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment that you use, to keep it in a safe working condition.

An equipment maintenance procedure will typically include the following:

- Identification of what equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (i.e. equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current test/calibration tags, service records/external testing registers etc.

A test/calibration register will show your complete inventory of equipment/items that require testing and calibration, the dates when testing was undertaken and any re-testing dates.

Note: We would expect most organisations to have a test and tag process in place for electrical items and general offices spaces (excluding small home offices etc.). We acknowledge this is not a legal requirement but is generally expected for best practice and viewed as a significant control for risk management.

General Scoring Criteria: To score well in this question you will need to provide:

- A testing and calibration procedure that covers off expectations listed in the Question Help.
- 2x pieces of evidence that demonstrates that your procedure/process is being implemented.
- A testing and calibration register showing your complete inventory with clear test and re-test dates.

- Evidence will indicate that testing/calibration dates are current.

2.9.2

Do you have a process/procedure for planned preventative maintenance to keep your mobile plant (e.g. forklifts, scissor lifts, diggers etc.) and vehicles (e.g. company cars, utes, vans, trucks etc.) safe and fit for use?

Note: This includes borrowed or hired plant and vehicles.

Please:

Attach your mobile plant/vehicle maintenance procedure or a description of your process.

Attach 2 items of evidence indicating regular maintenance in practice (i.e. pre-start checks, service records etc.)

Attach your maintenance/inspection register/s.

Note: Assessors will consider the activities you undertake, and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable if you do not have any mobile plant/equipment or company vehicles owned OR leased by your organisation. If this is the case, please mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process to keep work vehicles and mobile plant (e.g. forklifts, scissor lifts) safe and fit for use.

A mobile plant maintenance procedure will typically include the following:

- Identification of what mobile plant and equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment (e.g. vehicle services, WOF etc)
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current WOF and Rego or service records and pre-starts etc.

A vehicle/mobile plant register is used to effectively monitor and track servicing dates and to ensure planned, preventative maintenance is undertaken in a timely manner. You may use an excel spreadsheet or an online tracking system such as EROAD.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that covers off expectations listed in the Question Help.
- Inclusion of a process/consideration for hired or borrowed vehicles and mobile plant where relevant.
- 2x pieces of evidence of your procedure/process in practice i.e., service invoices, pre-start checks etc.

- Your vehicle/mobile plant register detailing servicing dates and scheduled maintenance for your fleet.

2.10 CONTRACTOR MANAGEMENT

2.10.1

Do you engage contractors (sole traders or organisations) as part of your delivery of services to your client/s?

Answer Options: YES, NO

Note: If you answer 'NO' to this question, the rest of the questions in this section will be hidden from view.

Question Help: This question is non-scoring.

If you engage any contractors, regardless of the type of contractor, please answer this question as 'YES'. If you don't engage any contractors simply answer this question 'NO'.

2.10.2

Please provide a brief description of how you engage contractors to assist you in delivering work to your clients. Please ensure to include the following in your response:

- 1) The number of contracting organisations/companies you typically use (i.e. "We engage 8 organisations to assist with delivering services to our clients").
- 2) Excluding contractors from organisations indicated above, give an approximate number of individuals you typically use (i.e. "We use up to 12 Sole Traders/Labour Only Hire individuals").
- 3) An indication of how frequently you use contractors (i.e. "We use contractors on a weekly basis").

(free text answer)

Note: If you clearly only engage Sole Traders or Labour Only Hire as contractors, please indicate this in your response and mark the rest of the questions in this section as N/A. Assessors will make it clear on your report for clients to see that you don't engage contractors (other than Sole Traders and Labour Only Hire) and that you have not been assessed against contractor management questions in this section. It is important that you accurately represent your contractor use to your clients to ensure appropriate engagement opportunity.

Question Help: This question is non-scoring.

This question is trying to establish what type of contractors you use. The type of contractors will determine how you need to answer the following questions. It is important that you provide the details we are asking for here so an assessor can make an informed decision about how to represent your organisation to your client in your prequalification report. Misrepresentation here may require you to be re-assessed against these questions at a client's request. This will incur a fee.

2.10.3

Do you have a process to prequalify your contractors?

Please attach evidence of 2 completed contractor prequalification's.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required health and safety systems and capabilities to keep people safe when working for you.

A prequalification assessment will generally check the following areas of your contractors:

- Management and commitment
- Work procedures and documentation
- Training and Licenses
- Hazard management
- Incident management
- Plant and equipment management
- Monitoring and auditing
- Prosecutions
- Insurances

A prequalification is generally a questionnaire type document that requires evidence to be submitted, reviewed, and assessed by your internal health and safety resource. Depending on how the contractor performs with the assessment (quality of evidence and subsequent outcome) will determine if you are comfortable with using this contractor on your site.

Note: It is acceptable practice to use an external prequalification service (such as IMPAC PREQUAL) to undertake your prequalification assessments on your behalf. If this is your process, please provide an externally completed prequalification for two of your contractors.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed contractor prequalification's clearly showing; contractor organisation name, the questioning the contractor is required to answer, sign off/approval.
- Your prequalification will require submission of evidence by the contractor for assessment.
- There should be a good level of questioning, generally aligning with the Question Help at minimum.
- Evidence should be no more than 2 years old.

2.10.4

Do you have a process to induct your contractors?

Please attach 2 completed contractor inductions. Evidence should include induction content.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: A contractor induction programme introduces a contractor into your workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including hazards, risks, and controls.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Contractor responsibilities
- Injury management process
- Communication
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both contractor and inductor) induction forms and the content covered in the induction e.g., worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x most recently completed inductions (signed, dated by contractor and employer)
- Induction will clearly show what organisation the contractor is from
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

2.10.5	<p>Do you have a process/procedure to inspect/monitor your contractors health and safety activity on the job?</p> <p>Please attach evidence of 2 completed contractor inspections.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"</p>
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Question Help: A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations. This will be undertaken whilst work is in progress.

Note: This does not refer to a behavioural observation inspection on its own.

If your contractor inspections are undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified (organisation name).

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x completed contractor inspections (clearly identifying contractors being inspected).

- Inspection items should be relevant to your contractors work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).
- Any corrective actions should be noted down on the inspections with actioning/follow up and sign-off clearly identified to track and rectify any issues.

2.10.6

Do you have a process to ensure that your contractors hold or are involved in health and safety meetings/discussions i.e., pre-start meetings?

Please attach evidence of 2 health and safety meetings, pre-starts, JSAs or similar, where contractors have had opportunities for involvement in health and safety.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: Shift or daily pre-start meetings are held at a team level at the start of each day or shift to discuss the planned operations and requirements, including those relating to health and safety. Often contractors will attend a wider meeting of contractors.

Evidence of attendance to either wider pre-start meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your workers) have attended these meetings.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x pre-start meeting (or similar) with discussed health and safety content
- The minutes should be specific to the activities being undertaken on site that day
- Contractors (organisation name) must be clearly displayed.
- The evidence should be recent (ideally from within the last 12 months).
- Dated and signed by those in attendance.

2.10.7

Do you have a process to provide your contractors with post-contract health and safety feedback/reviews?

Please attach evidence of 1 completed post-contract contractor review.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH"

Question Help: Post-contract health and safety reviews are either held with or provided to contractors after a project or a significant piece of work has been completed, or periodically. They help to improve contractor performance in the

future by evaluating how effectively health and safety was integrated into the key stages of a project (i.e. what worked well and what needs improvement).

Note: These may be undertaken as part of a wider post-contract review incorporating i.e., quality, environmental, financial etc. For this prequalification, we only need to see the health and safety component.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed post-contract health and safety review (clearly displaying contractor name).
- The review will focus on both positive observations and improvement opportunities.
- The evidence should be recent (ideally from within the last 12 months).
- There should be acknowledgement that the contractor has sighted and signed the review.

2.10 SAFETY PERFORMANCE

2.10.1

Has your organisation been prosecuted and convicted for an offence under the Health and Safety at Work (HSAW) Act 2015 in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what you were prosecuted for, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the prosecution/s.

Question Help: This is only a scoring question if you have been prosecuted. Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s.

2.10.2

Has your organisation received a Prohibition, Infringement or Improvement Notice issued under the Health and Safety at Work (HSAW) Act 2015 within the last 5 years?

Note: Any notices issued by WorkSafe, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA)?

If Yes, please:

Attach a copy of each notice and a clear outline of the corrective actions you put in place to prevent the situation/s happening again.

Question Help: This is only a scoring question if you have been received a prohibition, infringement, or improvement notice. Your score in this area will reflect what you have done to rectify the issues relating to the notice/s.

2.10.3

Has your organisation been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years?

If Yes, please:

	<p>Attach a copy of all investigation reports (or other documents outlining why you were investigated) and a clear outline of the corrective actions you put in place to control the situations and prevent them happening again.</p> <p>Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the investigation/s.</p>
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Question Help: This is only a scoring question if you have been investigated by an enforcement agency. Your score in this area will reflect what you have done to rectify the issues relating to the investigation.

2.10.4	<p>Has your organisation ever been prosecuted and convicted for an offence, received infringement notices, or been investigated by an enforcement agency under the Resource Management Act or other environmental regulation or bylaw in the last 5 years?</p> <p>Note: Assessors will be undertaking a court base search of your company.</p> <p>If Yes, please: Attach an explanation of what the issue was, and a clear outline of the corrective actions you put in place to prevent the situation happening again.</p> <p>Note: Your score in this area will be a reflection of what you have done to rectify the issue/s</p>
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Question Help: This is only a scoring question if you have been prosecuted or convicted for an environmental offence. Your score in this area will reflect what you have done to rectify the issues relating to the offence.

2.10.5	<p>Have you or your workers been recognised by clients or other external bodies for health and safety excellence, innovation, or problem solving etc. in the last 5 years?</p> <p>If Yes, please: Attach a description of the award/recognition.</p> <p>Attach evidence e.g. safety award, certificate, write up, or similar.</p>
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Question Help: This is a non-scoring question meant for information purposes only.

SECTION 3: INSURANCE

3.1 INSURANCE

Question Help: *Insurances are non-scoring.*

For your certificate of currency to be accepted it must:

- Display your company name
- Be current at the time of assessment
- Display the amount of coverage (usually whole rounded numbers i.e. \$10,000,000)
- Be signed and dated by your insurance provider (some exceptions if evidence is non-editable and printed on recognised providers header) At your request, your insurance provider will be able to supply you with your appropriate certificate of currency.

PLEASE NOTE:

We cannot accept payment/remittent invoices, we need to see the current insurance certificate. If your insurance is paid for monthly, we will accept the certificate if it is valid for the month your prequalification was submitted and make note to clients to check for active insurance upon engagement.

Do you hold motor vehicle insurance (third party liability) for airside activities (airport work only)?

If Yes, please:

Enter the dollar amount of cover you have for your airside motor vehicle insurance.

Enter the expiry date of your airside motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold motor vehicle (third party liability) insurance?

If Yes, please:

Enter the dollar amount of cover you have for your motor vehicle third party liability insurance.

Enter the expiry date of your motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold general Public or Products Liability Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your general Public or Products Liability insurance.

Enter the expiry date of your general Public or Products Liability insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

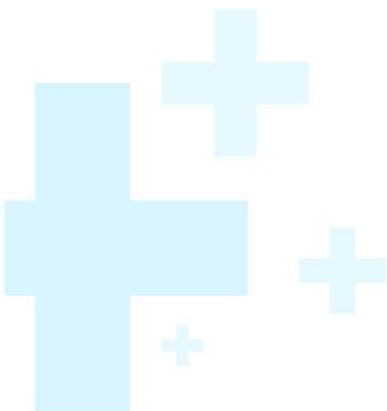
Do you hold Professional Indemnity Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your Professional Indemnity insurance.

Enter the expiry date of your Professional Indemnity insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.



Category 3 Questionnaire

CATEGORY DEFINITION		
Category 3	Contractor	You are a category 3 contractor if you are engaged by the main contractor or directly by your client, have 16 or more employees. You <i>may</i> also engage contractors (either sole traders or organisations).

Please Note:

This copy of the questionnaire contains all the possible questions you could be asked. There may be questions that are not released to you in your online application based on the work activities you undertake.

If your application is a renewal, please check all your registration details are current to ensure you are in the correct category.

Assessment Scoring:

PREQUAL has improved our assistance to contractors during the prequalification process. As part of our service offering, we have included better **Question Help**, to aid your understanding of what evidence we expect for each question, and **General Scoring Criteria** to be clear about what we are (generally) looking for as a minimum to score full marks (a 4) for each question. It is important to remember that PREQUAL is a pan-industry prequalification. This means that whilst we have tried our best to succinctly summarise what we typically expect for each question, there will always be exceptions to these requirements.



ASSESSMENT OVERVIEW

Please provide a description of your organisation and set up.

For example, the key services you deliver, your primary work areas, any recent changes to your organisation especially if you have grown considerably or acquired other companies. This is also a space to explain any parent company/subsidiary/franchise type set ups you may be part of especially if you operate under the same centralised health and safety management system of a bigger franchisor/organisation. The more detail you provide here the better our assessment will be against your organisation's context.

(free text answer)

Question Help: *This question is non-scoring.*

What we are trying to ascertain here is who you are as an organisation, what your primary work activities are, how your health and safety management system is applied across your organisation and any recent changes that we should be aware of that may affect how your assessment is marked. The more information we have about your unique structure, the better our assessment against your organisation will be, leading to clearer outcomes for targeted continual improvement and better representation to your client for potential engagement opportunities.

1.1

PREQUAL recognises the following Health and Safety Management System audit certifications.

- ACC Accredited Employer Partnership Programme (AEP)
- ISO 45001
- AS/NZS 4801
- OHSAS 18001

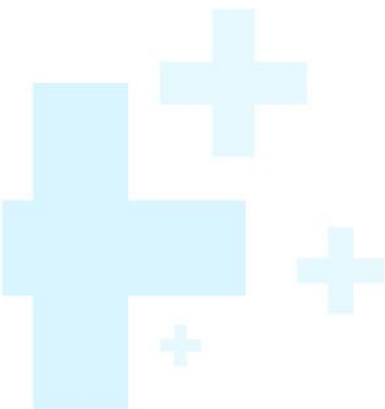
Does your organisation hold one of the above audit certifications?

Note: Certification must be current at the date of submission and from a registered provider.

View "Help" for more information.

Please attach a copy of your current HSMS audit certification.

Answer Options: YES, NO



Question Help: *This question is non-scoring.*

HSMS Audit Certification Acceptance:

Certification should cover and indicate the New Zealand division of any international organisation (exceptions may be made for some businesses. If you are unsure, please contact us)

Excluding ACC (AEP), certification must be from a JAS-ANZ registered accredited provider OR an accredited provider that falls under IAF (International Accreditation Forum) regulation.

If certifying body where you have obtained your Health and Safety Management Certification is not registered with either JAS-ANZ or IAF, we will unfortunately not be able to accept your certificate.

You will not be penalised for not having a current certification. If you don't hold a current certification, you will just have visibility of and be required to answer all assessment questions.

To check if your certifying body is an accredited provider, please see;

- <https://register.jas-anz.org/accredited-bodies> (for New Zealand)
- <https://iaf.nu/en/recognised-abs/> (for international providers)

SECTION 2: MANAGEMENT, SUPERVISION & BUSINESS CONTINUITY

2.1

Please attach an organisational chart showing your management and supervisory structures.

Note: We are looking to see the names and roles of workers in key management positions as well as organisational hierarchy.

Question Help: *This question is non-scoring.*

Whilst this question is non-scoring, assessors need to sight the supervisory structure to assist with the scoring of certain assessment questions. Please ensure that you provide an organisational chart/structure that clearly shows than names of individuals in key roles. A tiered hierarchy will help us to determine who holds overall responsibility for certain aspects of management.

2.2

Does your organisation have a business continuity plan for the handling of situations that may potentially affect business activities?

Note: This question is looking specifically at business resilience and plans of action should significant disruption events occur. The plan should not be just a list of emergency procedures.

Please attach your organisation's business continuity plan/procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your organisation based on your work activities. We would expect most organisations to have some form of business continuity considerations when it comes to

worker related management, broader emergency scenarios, I.T backups etc. For organisations who do not rely on supply chains to keep business functions operational, cannot effectively relocate/re-establish workspaces due to unique premises set up etc. we may accept N/A. If that is the case, please mark this question as N/A and explain.

Question Help: A business continuity plan identifies the potential risks and threats in relation to the critical operations of your business and outlines what you will do should disruption occur. As a Category 3 or 4 organisation you may potentially be a critical supplier of services to clients, therefore this plan provides assurance of your ability to provide services to clients after a critical event.

PLEASE NOTE: While specific emergency scenarios will be covered in a Business Continuity Plan, this is not the same document as your emergency scenario/response or evacuation plan.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A Business Continuity Plan that is appropriate to the size and scope of your organisation and areas of work.
- Considerations for such disruption events as; supply chain/product disruptions, emergency events and premises relocation, IT disruption/outage, critical staff loss etc.
- Key contact details for response personnel
- An indication the plan has been tested.
- An indication the plan has been reviewed/updated within the last 12 months.



SECTION 3: CONTRACTORS & SUBCONTRACTORS

3.1

Do you engage contractors (sole traders or organisations) as part of your delivery of services to your client/s?

Answer Options: YES, NO

Note: If you answer 'NO' to this question, the rest of the questions in this section will be hidden from view.

Question Help: *This question is non-scoring.*

If you engage any contractors, regardless of the type of contractor, please answer this question as 'YES'. If you don't engage any contractors simply answer this question 'NO'.

3.2

Please provide a brief description of how you engage contractors to assist you in delivering work to your clients. Please ensure to include the following in your response:

- 1) The number of contracting organisations/companies you typically use (i.e. "We engage 8 organisations to assist with delivering services to our clients").
- 2) Excluding contractors from organisations indicated above, give an approximate number of individuals you typically use (i.e. "We use up to 12 Sole Traders/Labour Only Hire individuals").
- 3) An indication of how frequently you use contractors (i.e. "We use contractors on a weekly basis").

(free text answer)

Note: If you clearly only engage Sole Traders or Labour Only Hire as contractors, please indicate this in your response and mark the rest of the questions in this section as N/A. Assessors will make it clear on your report for clients to see that you don't engage contractors (other than Sole Traders and Labour Only Hire) and that you have not been assessed against contractor management questions in this section. It is important that you accurately represent your contractor use to your clients to ensure appropriate engagement opportunity.

Question Help: *This question is non-scoring.*

This question is trying to establish what type of contractors you use. The type of contractors will determine how you need to answer the following questions. It is important that you provide the details we are asking for here so an assessor can make an informed decision about how to represent your organisation to your client in your prequalification report. Misrepresentation here may require you to be re-assessed against these questions at a client's request. This will incur a fee.

3.3

Do you have an overarching contractor/subcontractor management procedure?

Please attach your contractor management procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: A contractor management procedure is an overarching procedure or guideline for how you will manage your contractors and should detail the following elements:

1. How you prequalify your contractors i.e. internal, external, who is responsible, how this is undertaken etc.
2. Contractor selection, setting of KPI's, and minimum requirements setting i.e. how contractors are chosen for particular works, your expectation or requirements for KPI's and minimum health and safety expectations.
3. Pre-commencement including induction and safety documentation requirements/sign off (e.g. Site Safety Plans) i.e. your induction/onboarding process, requirement and review of any specific project/on-site documentation.
4. How you monitor/inspect and audit/review your contractors i.e. your contractor inspection process, frequency, documentation audits, and post completion health and safety review requirements/feedback.

The following questions in this Contractor Management section will request to see evidence you are following your contractor management process.

General Scoring Criteria: To score well in this question you will need to provide:

- A contractor management procedure that covers off the elements outlined in the question help with clear detail about how each contractor management step is undertaken.

3.4

Do you have a process to prequalify your contractors?

Please attach 2 recently completed prequalification's for two of your contractors (one for each contractor).

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required health and safety systems and capabilities to keep people safe when working for you.

A prequalification assessment will generally check the following areas of your contractors:

- Management and commitment
- Work procedures and documentation
- Training and licenses
- Hazard management
- Incident management
- Plant and equipment management
- Monitoring and auditing

- Prosecutions
- Insurances

A prequalification is generally a questionnaire type document that requires evidence to be submitted, reviewed, and assessed by your internal health and safety resource. Depending on how the contractor performs with the assessment (quality of evidence and subsequent outcome) will determine if you are comfortable with using this contractor on your site.

Note: It is acceptable practice to use an external prequalification service (such as IMPAC PREQUAL) to undertake your prequalification assessments on your behalf. If this is your process, please provide an externally completed prequalification for two of your contractors.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x completed contractor prequalification's clearly showing; contractor organisation name, the questioning the contractor is required to answer, sign off/approval.
- Your prequalification will require submission of evidence by the contractor for assessment.
- There should be a good level of questioning, generally aligning with the Question Help at minimum.
- Evidence should be no more than 2 years old.

3.5

Do you have a process/procedure for setting minimum health and safety requirements for your contractors?

Please attach a copy of your minimum health and safety requirements that contractors must follow when working for you.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: Minimum health and safety requirements are an agreement between you and your contractors, outlining your expectations and the minimum standards you require from your contractors when working for you. This should include adherence to legislative requirements, your internal health and safety requirements and any other rules you have.

Note: These requirements are not what you as an organisation are expected to do, rather the expectations you have of your contractors. They should read as prescriptive requirements.

Minimum health and safety requirements are also not to be confused with induction requirements which are assigned at the individual worker level.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A suitable list of minimum health and safety requirements that your contractors are expected to abide by when working for you.
- Minimum health and safety requirements will include legislative and internal requirements.

3.6

Do you set health and safety key performance indicator's (KPI's) for your contractors?

Please attach examples for 2 of your contractors (e.g. KPI's set/assigned to two different contractors). Include evidence of the current status against those measures (e.g. current statistics)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

This question may also be N/A to you if you are infrequently engaging contractors and only for short duration work. If this is the case, please mark this question as N/A and explain.

Question Help: Health and safety Key Performance Indicators (KPIs) are quantifiable measurements that provide a measure of the health and safety performance of your contractors. They're often categorised into lagging (reactive) and leading (proactive) indicators. KPIs must be quantifiable. General business objectives and organisational targets are not considered to be health and safety KPIs.

Examples could include:

Lead (Positive) Indicators:

- Health and safety meetings held
- Audits and inspections completed
- Training courses completed
- Corrective action completion rates
- Behaviour/attitude surveys completed

Lag (Negative) Indicators

- Injury frequency and severity rates
- Lost Time Injuries
- Property damage incidents
- Costs

KPIs should be set for your contractors when they are engaged for frequent or long duration projects. This question requires you to provide evidence of the KPIs that you set for your contractors AND the current statistics of those set KPIs for those two contractors.

General Scoring Criteria: To score well in this question you will need to provide:

- An appropriate mix of lag and lead indicators for 2x contractors that are engaged for frequent or long duration work.
- Current statistics for the set and tracked KPIs must be provided.
- The contractors must be clearly identified.

Note: For the purposes of the prequalification, we are trying to establish if you can manage contractors in an appropriate manner. Combining your internal KPI statistics with your external contractor KPIs with no way to distinguish between statistics is viewed as an unfavourable practice and will not pick up marks. If you expect the same KPIs from your contractors as you do your internal workers, please distinguish this clearly.

3.7	<p>Do you induct your contractors into your health and safety programme?</p> <p>Please: Attach a copy of your contractor induction content. Attach evidence of 2 recently completed contractor inductions.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH.</p>
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Question Help: A contractor induction programme introduces a contractor into your workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including hazards, risks, and controls.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Contractor responsibilities
- Injury management process
- Communication
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed induction forms OR site induction sign on, and the content covered in the induction e.g., worker handbook, safety manual, power point, site specific safety plan etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x most recently completed contractor inductions (signed, dated by contractor and where necessary, the employer)
- Inductions will clearly show what organisation the contractor is from
- Induction content will be descriptive and cover off the minimum expectations as outlined in the Question Help.

3.8	<p>Do you audit your contractor's Site Specific Safety Plans (SSSPs)?</p> <p>Please attach evidence of 1 completed contractor SSSP audit.</p> <p>Note: This is not a pre-work signoff of a SSSP, rather an audit you have undertaken of a live contractor SSSP. As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls.</p> <p>Answer Options: YES, NO, N/A</p>
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If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire OR if you do not require your contractors to produce SSSPs for the work they undertake. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH.

Question Help: A Site Specific Safety Plan (SSSP) is a document generally used for long duration works and outlines project methodology including all the site specific details required to undertake work for a specific piece of work. If you require your contractors to produce SSSP they will supply this document for your review and approval prior to working on site.

NOTE: This question is **not** looking for a pre-work review and approval of a SSSP, rather an audit of an active SSSP (or a SSSP that was active at the time of audit). This question is also not looking for a site inspection.

As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls. It is also important to ensure that the key expectations of the SSSP are being met i.e. are the appropriate number of safety meetings being held, are inspections being carried out at the frequency dictated in the plan, are all hazardous substances on site included in the inventory within the SSSP, are all incidents being reported and to the correct stakeholders etc.

We do not need to sight the actual SSSP itself for this question.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed contractor SSSP audit.
- The audited contractor's organisation name will be clearly visible on the audit.
- The audit should assess each section of the SSSP to ensure methodology and requirements are being adhered to.
- Evidence should be recent (ideally from within the past 12 months)
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

3.9

Do you ensure your contractors hold or are included in shift/daily pre-start meetings (or similar)?

Please attach 2 items of evidence of this being undertaken (e.g. pre-start meeting minutes or similar).

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH.

Question Help: Shift or daily pre-start meetings are held at a team level at the start of each day or shift to discuss the planned operations and requirements, including those relating to health and safety. Often contractors will attend a wider meeting of contractors.

Evidence of attendance to either wider pre-start meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your workers) have attended these meetings.

Where possible, we recommend submitting consecutive daily pre-start meeting minutes to show that these meetings are held regularly. For the purposes of this prequalification, we also accept JSA type documents that outline the risks, controls, health and safety information and any specific conditions on site. These types of documents must be signed onto by contractors undertaking the work to acknowledge their understanding and sighting of the information.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x pre-start meeting (or similar) with discussed health and safety content.
- The minutes should be specific to the activities being undertaken on site that day.
- Contractors (organisation name) must be clearly displayed.
- The evidence should be recent (ideally from within the last 12 months).
- Dated and signed by those in attendance.

3.10

Do you have a process/procedure to inspect/monitor your contractors health and safety activity on the job?

Note: This will typically take the form of a physical works inspection.

Please attach 2 recently completed contractor inspections.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations. This will be undertaken whilst work is in progress.

Note: This does not refer to a behavioural observation inspection on its own.

If your contractor inspections are undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified (organisation name).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed contractor inspections (clearly identifying contractors being inspected).
- Inspection items should be relevant to your contractor's work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).
- Any corrective actions should be noted down on the inspections with actioning/follow up and sign-off clearly identified to track and rectify any issues.

3.11

Do you have a process to provide your contractors with post-contract or periodic health and safety feedback/reviews?

Note: Post-contract/periodic reviews provide contractors with meaningful feedback regarding their health and safety performance over the course of the job/project.

Please attach 2 completed post-contract contractor reviews.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: Post-contract health and safety reviews are either held with or provided to contractors after a project or a significant piece of work has been completed, or periodically. They help to improve contractor performance in the future by evaluating how effectively health and safety was integrated into the key stages of a project (i.e. what worked well and what needs improvement).

Note: These may be undertaken as part of a wider post-contract review incorporating i.e., quality, environmental, financial etc. For this prequalification, we only need to see the health and safety component.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed post-contract health and safety reviews (clearly displaying contractor name).
- The reviews will focus on both positive observations and improvement opportunities.
- The evidence should be recent (ideally from within the last 12 months).
- There should be acknowledgement that the contractor has sighted and signed the reviews.



SECTION 4: HEALTH & SAFETY

4.1 HEALTH & SAFETY MANAGEMENT & COMMITMENT

4.1.1

Do you have a health and safety policy statement?

Note: We are not looking for your entire Health and Safety Manual for this question.

Please attach a recently signed and dated copy of your organisation's health and safety policy statement.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety policy statement sets out your approach, commitment, and intentions to workplace health and safety and should be accessible to the relevant workers, visitors, and other stakeholders. It is generally a one – two-page document and should be signed by the PCBU/top management.

General Scoring Criteria: To score well in this question you will need to provide:

- A health and safety policy statement with a good outline of clear legislative and organisational expectations for example:
 - Commitment to comply with relevant legislation and good practice.
 - Commitment to consult with employees in managing health and safety.
 - Referral to responsibilities of all involved in the organisation in creating a safe healthy environment.
- A health and safety policy statement that has been signed and dated within the last 2 years.
- A health and safety policy statement that has been clearly signed by the organisation's Owner, Managing Director, CEO etc.

4.1.2

Are health and safety accountabilities/responsibilities allocated to key management roles within your organisation?

Please attach 2 different examples of management roles where specific health and safety responsibilities are assigned.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: This question is looking to see if health and safety accountabilities/responsibilities, specifically, have been allocated to individuals who hold key positions within your organisation. Job descriptions for named persons/roles should outline key health and safety expectations and describe who is responsible for various health and safety activities (e.g. planning, management, hazard and risk management etc).

Whilst these accountabilities/responsibilities may be listed in a specific role description, they may also be outlined in your health and safety management system/plan. Either is acceptable as evidence. We would advise you to give us upper management accountabilities/responsibilities because there is an expectation that an organisation is aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

General Scoring Criteria: To score well in this question you will need to provide:

- Minimum of 2x key management job/role descriptions outlining all of the health and safety accountabilities/responsibilities assigned to those roles

OR

- An excerpt from your health and safety management plan detailing different roles and their health and safety accountabilities/responsibilities.

The descriptions should have:

- An appropriate level of responsibility assigned to each role
- Non-generic accountabilities/responsibilities
- Accountabilities/responsibilities should be for upper management roles

4.1.3

Who is the most senior person in your organisation with overall responsibility for health and safety management and what is their role?

(free text answer)

Question Help: This question is simply asking who (name/s) has overall responsibility for health and safety in your organisation and what their role (job title) is.

General Scoring Criteria: To score well in this question you will need to provide:

- An appropriate named individual and their role title that aligns with other evidence provided in assessment regarding organisational structure etc.

4.1.4

Who provides your company with health and safety advice and support e.g. Internal Health and Safety Advisor/Manager or External Consultant? (free text).

Include the following in your answer:

1. The name of the individual (internal or external) or external organisation.
2. The health and safety qualifications of the individual (internal or external) or of key people within the external organisation.

	<p>3. The level of health and safety experience of the individual (internal or external) or of key people within the external organisation.</p> <p>(free text answer)</p>
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Question Help: This question is asking you if you receive regular/ongoing (not one off) qualified health and safety advice from either an internal or external health and safety professional/s (individual OR organisation). If you receive advice from an organisation with multiple individuals, please provide the names, years of experience and qualifications from those individuals you have dealt with.

Weighting is placed on the level of qualification, but absence of qualification with industry experience (number of years) may be considered for a lower score.

Note: We undertake due diligence checks to ensure any named individual/s hold the indicated qualification/s. We have an obligation to report suspected instances of false qualification held by a health and safety professional.

General Scoring Criteria: To score well in this question you will need to provide:

- The name/s of an individual/s and their specific health and safety qualifications (scoring will decrease as an individual/s hold a lesser level health and safety qualification – in line with New Zealand Qualifications Framework. To score a 4 requires a level 8 qualification).
- The number of years of specific health and safety related work experience the individual/s have.

4.1.5	<p>Is H&S a fixed agenda item at your management/operations meetings?</p> <p>Please attach 2 sets of minutes from within the last 12 months that show health and safety was discussed at management/operations meetings.</p> <p>Note: A management meeting agenda will not be accepted as evidence.</p> <p>Answer Options: YES, NO</p>
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Question Help: This question is wanting to see if you have regular Management or Operation level meetings where health and safety is a consistent agenda item. These meetings are held with upper/senior management hosting or in attendance and are generally where wider organisational discussions take place.

Note: We are not looking for just a meeting agenda OR lower level (general) health and safety meetings that management are involved in/attended. Evidence of this nature will not be accepted.

We recognise that sensitive/commercial business discussions may take place in these meetings. For the purposes of the prequalification, please redact any information that you do not feel comfortable sharing. This assessment is only looking to view the health and safety component of these meetings.

General Scoring Criteria: To score well in this question you will need to provide:

- Two sets of Management/Operation level meetings where health and safety is discussed as a regular agenda item
- Meetings will not be general health and safety meetings/simply an agenda.

- The quality of the discussion content will be assessed. We will be looking for not only reactive health and safety discussion but proactive discussion too.
- Evidence should be from within the last 12 months and ideally consecutive to demonstrate frequency.

4.1.6	<p>Do you set health and safety key performance indicators (KPI's) for your organisation and is performance monitored by management?</p> <p>Please attach your process/procedure covering the following:</p> <ol style="list-style-type: none"> 1. What KPI measures (lag and lead indicators) are being used/captured 2. How frequently KPI's are being looked at by management. <p>Attach evidence of the current status against those measures e.g. KPI reports, evidence of KPI's in meeting minutes, current statistics (e.g. LTIFR, TRCFR).</p> <p>Answer Options: YES, NO</p>
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Question Help: Health and safety Key Performance Indicators (KPIs) are quantifiable measurements that provide a measure of the health and safety performance of your organisation. They're often categorised into lagging (reactive) and leading (proactive) indicators. KPIs must be quantifiable. General business objectives and organisational targets are not considered to be health and safety KPIs.

Examples could include:

Lead (Positive) Indicators:

- Health and safety meetings held
- Audits and inspections completed
- Training courses completed
- Corrective action completion rates
- Behaviour/attitude surveys completed

Lag (Negative) Indicators

- Injury frequency and severity rates
- Lost Time Injuries
- Property damage incidents
- Costs

We are looking for your process/procedure that sets out what KPIs you are recording, the frequency of reporting, who is responsible for tracking etc.

We are also wanting to see your current statistics for recorded KPIs. To demonstrate this, you could provide current graphs, data spreadsheets, dedicated KPI reporting for health and safety meetings etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A process/procedure setting out what KPI are recorded, the frequency, responsibilities etc.
- An appropriate mix of lag and lead indicators for your organisation
- Current statistics for the set and tracked KPIs

4.2 SAFE WORK PROCEDURES & PRACTICES

4.2.1

Do you produce and implement Standard Operating Procedures/Safe Work Procedures relating to the work you undertake?

Please attach 2 current examples.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.

Question Help: SOP's/SWP's (Safe Operating Procedures/Safe Work Procedures) are procedures that are in place to describe how to carry out standard tasks in a consistent and safe manner. They are commonly used for on-the-job training and are about standardised activity with limited to no potential for variation. They include a step-by-step guide to use a specific piece of equipment or to carrying out a specific task and include the hazards and risks involved and the controls to prevent harm.

They do not refer to generic safety procedures such as personal protective equipment management, generic chemical handling, or workplace inspections and are not to be confused with a Job Safety Analysis (JSA) as these are typically applied where the approach to the work activity, or the environment in which it is carried out, has the potential for variation.

SOP's/SWP's should be developed internally or specifically for your organisation. Whilst using industry standards, code of practice etc. may be applicable in some instances, this prequalification is assessing your ability to develop and implement your own internal instructions and procedures to ensure that information is directly relevant to your operations.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x different SOP's/SWP's that are relevant to your organisation and the work activities you undertake.
- An appropriate level of detail that outlines the steps required to undertake the task/use the piece of equipment.
- Identification and appropriate controls for hazards/risks that are likely to be encountered including PPE to be worn.

4.2.2

Do you have a process/procedure to periodically review your Standard Operating Procedures/Safe Work Procedures referred to in the question above?

Please:

Attach your SOP/SWP review procedure or description of your process.

Attach recent evidence showing you do this e.g. review records, comparison of original and updated procedures.

Note: We are looking for your SOP/SWP review procedure specifically, not a wider health and safety documentation review description.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

	This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.
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Question Help: SOP/SWP review refers to how, when, and why you review your work instructions i.e., by what means, what time intervals, what may require you to review your work instructions and who this is done by. This question is looking for you to provide a procedure for the process you follow to ensure that SOP's/SWP's remain current and fit for purpose.

We also require evidence of SOP's/SWP's being reviewed. This could be demonstrated by old vs new documents showing changes made, a review register displaying review cycles and an indication of what the updates included etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A process/procedure that clearly explains how you review your SOP's/SWP's, the frequency of these reviews, and the reasons why review may be required.
- Evidence of SOP/SWP reviews being undertaken.

4.2.3	<p>Are you required to develop Site Specific Safety Plans (SSSP's) when working for clients? Please attach 1 recently completed SSSP.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities and/or you may not be required to produce SSSP's for your client/s for the work you do. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A Site Specific Safety Plan (SSSP) is a document showing how health and safety is to be managed for a given project or service. SSSP's are more likely to be completed for long duration or complex work. SSSP's typically cover:

- H&S Structure and Responsibilities
- Methods of communicating H&S
- Hazard and risk management processes including site risk register
- Management of contractors/subcontractors
- Training and competency including induction
- Incident reporting and investigation
- Emergency response
- Audit and inspection
- Site specific project methodology should be included to ensure the plan does not appear generic

For the purposes of assessment, a signed off / working SSSP is required. This means the SSSP has been signed by both contractor (yourself) and client to agree it is approved for use.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed SSSP which (generally) includes the sections outlined in the Question Help.
- Evidence the SSSP has been signed or approved internally and by the client.
- Evidence should be from within the last 2 years.

4.3 RISK MANAGEMENT

4.3.1

Do you have a procedure or process for identifying, controlling, and reviewing hazards that you deal with?

Please:

Attach your hazard management procedure or a description of your process.

Attach 2 items of evidence of your process/procedure in practice.

Attach your Hazard/Risk Register.

Examples of evidence include:

1. Completed hazard identification, job safety analysis, task analysis forms
2. Reports of new hazards in meeting minutes etc.
3. Hazard report forms

We will be looking for:

1. A description/guidance on what types of hazards that are likely to be encountered in your line of work.
2. The different ways hazards are identified in the business.
3. The approach to controlling identified hazards.
4. How identified hazards are monitored and reviewed

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A hazard/risk management procedure or process will describe how your organisation systematically identifies hazards, assesses their risk, and applies a 'hierarchy of control' to manage this risk. It will also describe how these hazards/risks and controls are monitored and reviewed (how, who by, frequency).

A hazard/risk register will display all hazards/risks that you have identified within your workplace showing the controls you have established to minimise or reduce the likelihood of those hazards/risks occurring or causing significant harm. Assessors check to see that expected hazards/risks are identified and align with your work activities.

To support this question, evidence in practice should clearly show hazards/risks being identified and controlled. This could be through the use of hazard report forms or could be evidence such as a completed JSA, Task Analysis,

Hazard ID etc. where we can see you have the knowledge of how to identify hazards/risks for a piece of work/task and apply appropriate control measures.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazard/risk management procedure/process that aligns with best practice i.e., how to identify, risk assess, control, monitor, record, and review hazards/risks.
- A non-generic hazard/risk register that identifies hazards/risks that align with your specific work activities. This should cover your entire organisation i.e., not just a hazard/risk register for a specific job or location in your workplace.
- Clear periodic review and monitoring of hazards/risks.
- Appropriate and critically thought-out controls.
- 2x pieces of evidence of your procedure/process in practice i.e., completed hazard report forms, discussion and control of new hazards identified in meeting minutes, JSA's (or similar) showing you can apply hazard/risk management processes.
- Evidence should be from within the last 2 years.

4.3.2

Do you complete JSAs (Job Safety Analysis - also referred to as a Task Analysis) for the work you do?

Note: A JSA is not just a list of hazards/risks. A JSA should outline the sequence of steps required to undertake a piece of work/task and the hazards/risks associated with each step. The controls to manage these hazards/risks should also be identified.

Please attach 2 recently completed JSAs.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't undertake physical works and/or you may not be required to produce JSA's for the type of work you do. If this is the case, please mark this question as N/A and explain.

Question Help: A JSA will identify the steps of a task or job and the hazards/risks and controls associated with each step. A well completed JSA will clearly show the environmental situations and that it has been reviewed by those undertaking the work on site. For the purposes of assessment, the JSA will need to be signed and dated by all those involved on site.

Note: If your JSA does not identify the steps required to complete a particular task or job and instead is just a list of hazards, assessors will send your evidence back in the resubmission. We are NOT just looking for a list of hazards.

A JSA is also different from an SOP/SWP. JSAs take into account varying environmental conditions within a task/job and are completed for specific site work.

The JSA does not necessarily need to be completed on your own organisation's JSA template. In some situations, you may be required to use your client's JSA document. In this instance you can supply a copy of this JSA but clear indication that this has been completed by your own workers needs to be visible i.e., names with organisation name printed next to them.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed JSAs (job steps identified, hazards/risks and controls in place, signed and dated by those undertaking the work)
- Evidence should be from within the last 2 years.
- Marks will be awarded for an appropriate break down of the job/task steps relative to the work being undertaken, appropriateness of controls etc.

4.3.3

Do you have a procedure for managing the isolation (lockout-tagout) of live energy sources e.g. electrical equipment, moving machinery, hydraulics, live process lines etc?

Please attach your isolation (lockout-tagout) procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't undertake electrical works or work with equipment that would typically require the lock-out/isolation of stored energy types. If this is the case, please mark this question as N/A and explain.

Question Help: An energy isolation procedure or process (also known as lockout-tagout) will ensure machinery or equipment is inoperable by the isolation of live energy sources to achieve a 'zero energy' state. This may include electrical, pneumatic, hydraulic, mechanical, live process lines and stored energy. Not all types of energy sources may be relevant to your organisation, but it is important to have a procedure or process for those types that are relevant.

The procedure or process should outline a set of predetermined steps to follow when workers are required to perform tasks such as inspection, maintenance, cleaning, repair, and construction to ensure the safety of those doing the work.

The isolation procedure or process should include information on:

- What types of machinery/equipment you have that requires isolation
- How to isolate energy sources and ensure a zero-energy state
- The use and placement of locks and tags
- Training and authorised personnel
- Removal of isolation/lockout-tagout
- Safe re-energisation

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that outlines the expected information listed in the Question Help
- A procedure relevant to the types of energy sources you are required to lockout-tagout

4.3.4

Do you have documented procedures for general emergencies e.g. fire, medical, earthquake, flood etc.?

Please attach a copy of your general emergency procedures.

	<p>Answer Options: YES, NO</p> <p>Please Note: If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</p>
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Question Help: Your general emergency procedures should cover a wide range of natural and situational emergency scenarios (not just fire and earthquake). All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified emergency scenario. Lastly, we are not just looking for an evacuation plan.

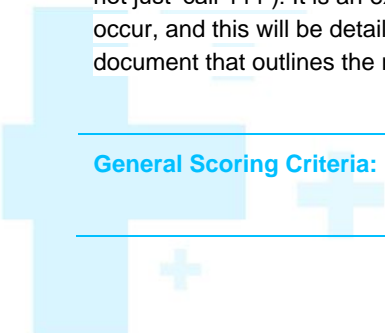
General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected general emergency scenarios – both natural i.e. fire, flood, earthquake etc. and situational i.e. bomb threat, medical event etc.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

4.3.5	<p>Do you have documented procedures for emergencies specifically related to the work activities you undertake e.g. confined space entry, heights rescue, chemical spill, working alone, electrocution, trench collapse etc.?</p> <p>Note: For each activity specific emergency scenario we are looking for the actual steps that are to be followed in the event of an emergency, not just a document outlining the requirement to have a plan in place.</p> <p>Please attach a copy of your work activity specific emergency procedures.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake physical works that typically require specific emergency processes. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: Your activity specific emergency processes should cover all emergency scenarios related to the specific work activities you undertake. All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified activity specific emergency scenario. We are not just looking for a document that outlines the requirement to have a plan in place.

General Scoring Criteria: To score well in this question you will need to provide:



- Full coverage of expected activity specific emergency scenarios. When marking this question, assessors will be keeping mind your indicated work activities and hazards/risks you have identified.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

4.3.6	<p>Do you have a procedure/process for managing hazardous substances?</p> <p>Please: Attach your hazardous substance management procedure or description of your process. Attach any 2 current Safety Data Sheets (SDS) that are relevant to the substances you use. Attach a copy of your hazardous substance inventory.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't use or store hazardous substances. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A procedure for managing hazardous substances will describe what hazardous substances are present and how your organisation will manage any risk from the use, handling, and storage of hazardous substances.

The procedure should typically include:

- How you handle and where you store hazardous substances
- How you train workers in their safe use
- How you carry out any required monitoring of your people or their work area

Safety Data Sheets (SDS) are also required, and these must be less than 5 years old and include the standard 16 sections.

You must include your hazardous substances inventory. This inventory must contain the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A hazardous substances procedure that includes the information outlined in the Question Help.
- 2x different Safety Data Sheets that are less than 5 years old and contain 16 sections. These must be for products you use (i.e. we will check your hazardous substances inventory).
- A hazardous substances inventory that contains the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

4.3.7	<p>Do you have a process/procedure for providing, maintaining, and replacing Personal Protective Equipment (PPE) for your workers?</p> <p>Please attach your PPE procedure or a description of your process.</p> <p>For assessment we will be looking at the coverage of the following areas:</p> <ol style="list-style-type: none"> 1. What PPE is needed for what work area and/or work activity
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2. When PPE is issued
3. When PPE is replaced
4. How PPE is maintained

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based, not conducting onsite work etc. Whilst most organisations will have some form of PPE if N/A is applicable, mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: Personal protective equipment (PPE) refers to all protective clothing and equipment used by an individual whereby elimination or minimisation does not entirely remove risk. The hazards and risks addressed by PPE can include physical, electrical, heat, chemicals, biohazards, and airborne matter.

Disposable PPE should be included but if you only have single use PPE, we will naturally not expect a description for maintenance and replacement.

In your description please include:

- What PPE is needed for what work area and/or work activity?
- How PPE is maintained and checked
- How and when PPE is replaced

General Scoring Criteria: To score well in this question you will need to provide:

- A description detailing what PPE is provided, this PPE should be appropriate to the hazards/risks present in your working environment.
- A description detailing how PPE is maintained (i.e. cleaned/stored correctly) and checked.
- A description detailing how PPE is replaced and when (i.e. when may replacement be necessary).



4.4 HEALTH & WELLBEING

4.4.1

Does your organisation have any form of mental health and wellbeing support/assistance programmes in place i.e. a wellbeing allowance, access to external wellbeing/support providers such as an Employment Assistance Programme (EAP) etc?

Please provide details on the type of support/programme you have in place and how this benefits your workers.

Answer Options: YES, NO

(free text answer)

Question Help: Having a mental health and wellbeing support programme in place is important to assist workers who are struggling with personal issues (possibly caused as a direct result of work) and therefore facilitate a healthier working environment. *'A Worker's health is just as important as a worker's safety'.*

This question is wanting to see what types of support you have in place for workers who require mental health and wellbeing assistance. Internally you may run specific programmes or initiatives to provide workers with support. Externally, Employee Assistance Programmes (EAP) services, or similar, are commonly used by organisations to act as a form of counselling for those in need. We are looking for a description of the type of support programme/initiative, how this helps your workers, who it is funded by etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the type of support programme/initiative and how this helps your workers.
- A more formalised approach will score higher here.

4.4.2

Do you provide any form of mental health/wellbeing training for workers?

Please describe the type of training, provider and outcomes of this training. Be sure to include the dates training was undertaken.

Answer Options: YES, NO

(free text answer)

Question Help: Having workers trained in matters of mental health and wellbeing is important to be able to recognise associated risks and therefore implement appropriate controls to ensure worker safety. *'A Worker's health is just as important as a worker's safety'.*

This question is looking to see if you provide any specific mental health/wellbeing training for your workers. This could be in the form of internal or external mental health/wellbeing training i.e. workshops, specific courses (Mental Health First Aid), management training, seminars or facilitation of personal development etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the type of training provided, the provider, the outcomes of this training, when training was delivered and who received this training.
- A more formalised approach will score higher here.

4.4.3

Do you have a drug and alcohol policy/procedure in place for your workers?

Please attach your drug and alcohol policy/procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based etc. If N/A is applicable, mark this question as N/A and explain.

Question Help: A drug and alcohol policy/procedure will outline your organisation's expectations on these substances in the workplace and detail your controls around associated risks.

Your policy/procedure should generally outline:

- Expectations & Misconduct.
- Testing process (and important intervals).
- Any rehabilitation outcomes you may have.

NOTE: the term 'policy' is used here to aid understanding of what this document may be commonly called. This question is wanting to see your actual process for drug and alcohol control. If this is covered in your 'policy' please supply that. If you need to provide an actual procedure to detail the expected content, please do so.

General Scoring Criteria: To score well in this question you will need to provide:

- A drug and alcohol policy/procedure that is appropriate for the size and risk profile of the organisation
- The policy/procedure should cover the general expectations as outlined in the Question Help.

4.4.4

Do you have a process/procedure for carrying out health monitoring on workers who are exposed to workplace health hazards?

Please attach your health monitoring process/procedure.

Note: Personal health records are not required.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based, have undertaken a risk assessment on your work environment and ruled out potential exposure to health related risks etc. If N/A is applicable, mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: Health monitoring refers to the testing of individuals to identify any changes in their health status due to exposure to health hazards arising from their work. This is to detect if a worker's health is being harmed (e.g. hearing, sight, blood or lung function testing).

The procedure should include:

- The identification of health risks within your work environment
- The type of monitoring or testing undertaken
- The processes for consent and recordkeeping
- The response to evidence of minimised health/suboptimal results
- Testing frequency/timeframes

NOTE: For confidentiality purposes, we do not require copies of monitoring records.

General Scoring Criteria: To score well in this question you will need to provide:

- A health monitoring process/procedure that aligns with the expected health risks encountered in your area of work.
- The process/procedure should cover the general expectations as outlined in the Question Help.

4.5 INCIDENT REPORTING & INVESTIGATION

4.5.1

Do you have an incident reporting procedure?

Please:

Attach your incident reporting process/procedure

Attach your incident register from the past year

Attach 2 completed incident report forms

We will be looking for the following content in the procedure:

1. How incidents are reported
2. How you report Notifiable Events, Illness and Injuries to WorkSafe
3. Notification of incidents internally and to your clients
4. How you store incident records

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident reporting procedure ensures that all incidents that do or have the potential to cause harm, are reported. This will lead to the review of controls if needed. In addition, it ensures legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- How incidents are recorded and who they are reported to
- Reporting timeframes
- How notifiable events are managed

- How and where incident records are stored

An incident register is generally where records are stored. This could be physical or digital with many online systems currently used to store this information. If you are using an online system, please export data or take screen shots for upload to your assessment.

Incident reporting forms should be completed to record and detail any incident/near miss that takes place within your workplace.

Note: A lack of working evidence to supply would generally indicate to us that incident reporting is not taking place, not that no incidents/near misses have occurred. If you do not have recent evidence, please provide evidence of any age. If, even with these exceptions, you have not had any incidents/near misses to report, please attach an explanation to suggest this and at minimum provide the incident reporting and incident register templates you would use.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure that outlines the information in the Question Help
- An incident register that shows all incidents/near misses that have been reported within your organisation for the past year.
- 2x completed incident reports.

4.5.2

Do you have an incident investigation procedure?

Note: This may be part of the incident reporting procedure - if it is, please also attach it to this question.

Please:

Attach a copy of your incident investigation process/procedure.

Attach 2 completed incident investigation forms.

We will be looking for the following content in the procedure:

1. How it is determined which incidents are investigated
2. How incidents are investigated (we will be looking for the use of root cause analysis)
3. Who is responsible for investigating incidents?
4. How investigation findings are agreed, and corrective actions implemented

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident investigation procedure ensures that all incidents are investigated, as appropriate. This will lead to the review of controls if needed. In addition, it ensures legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- Which incidents are to be investigated and by who
- The investigation processes
- How corrective actions are implemented
- How notifiable events are managed

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure that outlines the information in the Question Help
- 2x completed incident investigation reports.
- Whilst the investigation will be relevant to the size and scope of the incident, we will be looking for good root cause analysis.

4.5.3

Do you have trained incident investigators?

Note: Types of training we are looking for could include ICAM Investigation Techniques, US17601 etc. Any records provided should identify the course and level achieved (e.g. pass, completed etc.)

	<p>Please attach a copy of the nominated incident investigator's training records or certificate of completion.</p> <p>Answer Options: YES, NO</p>
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Question Help: Having suitably trained incident investigators will mean that robust investigations are undertaken for relevant incidents where root cause analysis is required. This will help to facilitate appropriate risk control review and updates. Incident investigation training can be internal or external with a higher score being awarded for specific/recognised investigation training i.e. ICAM, US17601 etc. vs someone who has been internally taught how to investigate incidents.

NOTE: PREQUAL does accept a wide range of incident investigation training types however for lesser known certifications/courses we make an assessment based on the course content and duration.

General Scoring Criteria: To score well in this question you will need to provide:

- A named incident investigator. You should have ongoing access to this individual/s for investigations as required, not have been consulted by them on a 'one off' basis.
- The training course/certification they have achieved. This may be a record of training showing a pass mark or the completion certificate itself.

4.6 WORKPLACE AUDIT & INSPECTION

4.6.1	<p>Do you conduct regular health and safety inspections of your work areas? (e.g. offices, work sites etc.)</p> <p>Please: Attach 2 recently completed inspections</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to you based on your work areas. Whilst most organisations should have some form of work area for inspection, certain allowance may be made for small home offices etc. If so, please mark this question as N/A and explain.</p>
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Question Help: Workplace inspections help prevent injuries and illnesses through frequent examination of the workplace and formally identifying and recording hazards/risks for corrective action. A formalised process is expected to identify, record hazards, and follow up with corrective actions. This can include offices, warehouses, vehicles, workshops or any site where work is performed.

Please note: A workplace inspection needs to include physical environment checks not just safe worker behaviour.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed workplace inspections.
- Inspection items should be relevant to your work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

4.6.2

If you produce Site Specific Safety Plans, do you undertake audits of your working SSSP's to ensure that health and safety expectations and project methodologies on site are being adhered to in accordance with the SSSP?

Note: We are not looking for a pre-work signoff of a SSSP, rather an audit of a working SSSP. As a project progresses it may be necessary to audit and update the SSSP to ensure that it remains current for project methodologies and health and safety controls.

Please attach 1 recently completed SSSP audit.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities i.e. you may not be required to/do not produce SSSP documents. If so, please mark this question as N/A and explain.

Question Help: A Site Specific Safety Plan (SSSP) is a document generally used for long duration works and outlines project methodology including all the site specific details required to undertake work for a specific piece of work. If you produce SSSP's for the work you do this question is looking for a SSSP audit.

NOTE: This question is **not** looking for a pre-work review and approval of a SSSP, rather an audit of an active SSSP (or a SSSP that was active at the time of audit). This question is also not looking for a site inspection.

As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls. It is also important to ensure that the key expectations of the SSSP are being met i.e. are the appropriate number of safety meetings being held, are inspections being carried out at the frequency dictated in the plan, are all hazardous

substances on site included in the inventory within the SSSP, are all incidents being reported and to the correct stakeholders etc.

We do not need to sight the actual SSSP itself for this question.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed SSSP audit.
- The audit should assess each section of the SSSP to ensure methodology and requirements are being adhered to.
- Evidence should be recent (ideally from within the past 12 months)
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

4.6.3

Do you have a process/procedure for conducting regular audits of your own Health and Safety Management System?

Please:

Attach your HSMS audit procedure or a description of your process (include how often and who conducts these audits).

Attach 1 recently completed audit.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety management system audit (HSMS audit) is a process to periodically check your health and safety management system is effective and fit for purpose. This is not a workplace inspection that checks physical conditions, or behaviours of individuals. It is a check that an effective health and safety management system is in place with systematic hazard and risk management and supporting processes.

An HSMS audit will ideally be conducted against all aspects of your management system to ensure that all sections and intended outcomes are being met/still relevant. At a minimum, a HSMS audit should include:

- Leadership and commitment
- Hazard identification, assessment and control
- Information, training and supervision
- Incident reporting, management and investigation
- Employee participation
- Emergency planning and readiness
- Contractor/subcontractor management
- Injury Management

Note: A prequalification is not an audit. A prequalification will cover off certain aspects/components of a health and safety management system but is not considered to be a full audit. Evidence of prequalification will not be accepted for this question.

It is accepted practice to have an external audit conducted on your health and safety management system. This process should be detailed in your procedure, and we will require the completed audit itself (including outcomes) to be provided for assessment purposes.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure outlining your audit process detailing who is responsible, audit frequency, how the audit is undertaken etc.
- 1x completed health and safety management system audit.
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.
- Evidence should be no more than 18 months old.

4.7 INVOLVING WORKERS IN HEALTH & SAFETY

4.7.1

Do your workers have regular opportunities to be involved in health and safety?

Please:

Attach your procedure or a description of your process for involving workers in health and safety.

	<p>Attach 2 items of evidence of this happening in practice (e.g. copies of recent meeting minutes, diary notes where you have talked about safety, sections of meeting minutes where safety is discussed etc.)</p> <p>Answer Options: YES, NO</p> <p>Please Note: <i>If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</i></p>
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Question Help: All organisations must have worker engagement and participation practices, regardless of size, level of risk or the type of work carried out.

Worker participation practices are put in place so that workers can help to improve health and safety on an ongoing basis. These practices make it possible for workers to share ideas and information, raise issues, and contribute to decision-making on an ongoing basis.

Some forms of worker participation could be:

- Operations or toolbox meeting minutes where health and safety is clearly discussed.
- Health and safety meeting minutes or team briefings.
- Worker involvement in development of procedures and policies.
- Worker suggestions considered regarding health and safety initiatives.

This question is looking for your process/procedure outlining how you ensure worker participation in health and safety matters as well as evidence of participation taking place.

For smaller organisations where the only workers may be the organisation's owners, formal meetings may not take place. Health and safety should still be a discussion point but if your process is informal, please explain in a document and upload any recent health and safety discussions you may have had.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process which outlines worker participation and expectations around involvement in health and safety.
- 2x examples of worker participation in health and safety taking place.
- Evidence should be recent (ideally from within the last 6 months).
- Meeting attendees must be clearly shown/signed onto the minutes to indicate attendance.
- Outstanding issues should be assigned, actioned, and closed out where applicable.

4.7.2

Do your workers carry out shift/daily pre-start meetings (or similar)?

Please:

Attach your process or a description of how this is done.

Attach 2 items of evidence of this happening in practice (e.g. recent pre-start meeting minutes, diary notes, or records of attendance, daily JSA sign off etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. The type of meetings we are looking for here a daily pre-start meetings which are held each day (typically on a work site) before a job starts. Evidence could also be sign on to a JSA where workers have read over or acknowledged the hazards/risk of the day etc. We are not looking for general health and safety meeting minutes (requested in the question above). If you do not undertake on site work, this question may not be applicable, if so please mark N/A and explain.

Question Help: Shift or daily pre-start meetings are held at a work team level at the start of each day or shift to discuss planned operations and requirements, including those relating to health and safety. Daily pre-start meetings are not to be confused with general health and safety meetings which are usually held with all workers and at a frequency less than daily.

Where possible, we recommend submitting consecutive daily pre-start meeting minutes to show that these meetings are held regularly. For the purposes of this prequalification, we also accept JSA type documents that outline the risks, controls, health and safety information and any specific conditions on site. These types of documents must be signed onto by those undertaking the work to acknowledge their understanding and sighting of the information.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x daily pre-start meetings (or similar) displaying health and safety discussion content and worker involved.
- Evidence should be recent (ideally from within the last 6 months).
- General health and safety meeting minutes (less frequent than shift/daily) will not be accepted as evidence.

4.8 TRAINING

4.8.1

Do you have a process/procedure that ensures the provision of any required training for workers?

This may include:

1. On the job training: e.g. SOP training, competency assessments
2. Trade certification: e.g. electrical, plumbing, carpentry, mechanics, welding, etc.
3. Licences e.g. forklift: crane, scaffolding, heavy transport, asbestos etc.
4. Specialist training: e.g. confined space entry, work at heights, permit receiving, isolations, excavation etc.
5. Health and Safety: H&S representative, supervisors, construction passports, first aid etc.

Please:

Attach your training procedure or a description of your process.

Attach your training register (or similar summary of training undertaken by workers including currency).

Note: Assessors will be looking for relevant training based on your work activities (e.g. work at heights training if you do work at height or confined space entry training if you do confined space entry etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst most organisations should have some form of health and safety training in place (even if this is first aid, fire warden training etc.) certain allowances may be made for small home-based companies or smaller offices. If so, please mark this question as N/A and explain. Note: Induction training is covered in its own question below.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A training procedure helps to ensure workers have the skills and/or are developing skills and knowledge that relate to the management of hazards and risk in their workplace. The procedure may contain internal and or external training.

A training procedure will typically include:

- The specific types of training required i.e. role specific licenses, qualifications, first aid, in-house competency assessments etc.
- Who carries out this training (internal and/or external)
- How competency will be determined
- How training will be recorded (training register) and kept current

This question is looking for your training process/procedure and a current training register.

General Scoring Criteria: To score well in this question you will need to provide:

- A non-generic training process/procedure that relates to your organisation and work activities (i.e. not just state generally that training shall be given).
- The training procedure should outline the information in the Question Help
- A register which shows the training, qualifications, licenses etc. of each worker including the date training was provided and the expiry/refresher should there be a refresher component required.
- Competency assessments may be accepted in lieu of a training register where specific licenses/qualifications are not required.

4.8.2

Do you have a process/procedure to manage refresher training requirements? i.e. competency, licence, and certification refresher requirements to ensure currency.

Note: Assessors are looking for your process/procedure not your training register requested in the question above.

Please attach a copy of your refresher training procedure or description of the process you use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst we would expect that most forms of training would have a refresher component, either due to official certification expiry or regular internal refresher training, certain allowances may be made where the organisation clearly does not require training/associated refresher components. If so, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: The aim of a refresher training procedure is to ensure there is a process for the renewal or refreshing of training. This can include in-house training and competencies, as well as external certification or licences.

This question is looking specifically for a process/procedure. A training register will not satisfy question requirements.

A refresher training procedure should generally cover:

- How refresher training is managed (by who, how).
- Your process for undertaking refresher training (internal/external).

If you are using an automated system or external providers from reminders, please ensure your procedure explains how this works to ensure refresher components are managed effectively.

General Scoring Criteria: To score well in this question you will need to provide:

- A refresher training procedure that outlines who is responsible for managing refresher training, how this is undertaken, any internal or external requirements, refresher training frequencies for any competency and/or other general training.

4.8.3

Do you have a worker health and safety induction programme?

Please:

Attach a copy of your induction content i.e. manual or booklet, power point, detailed induction form displaying induction coverage.

Attach 2 most recently completed inductions

Note: This question refers to induction of your own workers upon employment, not contractors or clients.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your organisation's structure. If your only internal workers are both/all owners of the organisation, we would not expect those individuals to be inducted to their (your) own organisation. If this is the case, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An induction programme introduces a worker to their workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including the hazards, risks and controls in their workplace.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Employer/Employee responsibilities
- Injury management process
- Communication systems for Health and Safety
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both inductee and inductor) induction forms and the content covered in the induction e.g. worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x most recently completed induction forms (signed, dated by worker and employer)
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

Contractors who score well, often have a quiz or questionnaire included as part of the induction process.

4.9 PLANT, EQUIPMENT & VEHICLES

4.9.1

Do you have a process/procedure for the maintenance, testing and/or calibration of equipment you use?

Note: This would include items such as lifting equipment (slings, strops, lifting devices), safety equipment (travel restraint/fall arrest systems, respirators, SCBA, rescue tripods), test equipment (electrical meters, gas detectors), tag/testing of electrical leads etc.

Please:

Attach your testing and calibration procedure or description of your process.

Attach 2 items of evidence indicating regular test/calibration in practice (i.e. photos of current test/tagging, calibration tags, service invoices etc.)

Attach copies of your maintenance/testing/calibration registers.

Note: Assessors will consider the activities you undertake and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable based on your work activities or areas of work. Whilst most organisations will have some form of process i.e. tag and test as a minimum, if N/A is applicable, mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment that you use, to keep it in a safe working condition.

An equipment maintenance procedure will typically include the following:

- Identification of what equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (i.e. equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current test/calibration tags, service records/external testing registers etc.

A test/calibration register will show your complete inventory of equipment/items that require testing and calibration, the dates when testing was undertaken and any re-testing dates.

Note: We would expect most organisations to have a test and tag process in place for electrical items and general offices spaces (excluding small home offices etc.). We acknowledge this is not a legal requirement but is generally expected for best practice and viewed as a significant control for risk management.

General Scoring Criteria: To score well in this question you will need to provide:

- A testing and calibration procedure that covers off expectations listed in the Question Help.
- 2x pieces of evidence that demonstrates that your procedure/process is being implemented.
- A testing and calibration register showing your complete inventory with clear test and re-test dates.
- Evidence will indicate that testing/calibration dates are current.

4.9.2

Do you have a process/procedure for planned preventative maintenance to keep your mobile plant (e.g. forklifts, scissor lifts, diggers etc.) and vehicles (e.g. company cars, utes, vans, trucks etc.) safe and fit for use?

Note: This includes borrowed or hired plant and vehicles.

Please:

Attach your mobile plant/vehicle maintenance procedure or a description of your process.

Attach 2 items of evidence indicating regular maintenance in practice (i.e. pre-start checks, service records etc.)

Attach your maintenance/inspection register/s.

Note: Assessors will consider the activities you undertake, and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable if you do not have any mobile plant/equipment or company vehicles owned OR leased by your organisation. If this is the case, please mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process to keep work vehicles and mobile plant (e.g. forklifts, scissor lifts) safe and fit for use.

A mobile plant maintenance procedure will typically include the following:

- Identification of what mobile plant and equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment (e.g. vehicle services, WOF etc)
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current WOF and Rego or service records and pre-starts etc.

A vehicle/mobile plant register is used to effectively monitor and track servicing dates and to ensure planned, preventative maintenance is undertaken in a timely manner. You may use an excel spreadsheet or an online tracking system such as EROAD.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure or process that covers off expectations listed in the Question Help.
- Inclusion of a process/consideration for hired or borrowed vehicles and mobile plant where relevant.
- 2x pieces of evidence of your procedure/process in practice i.e., service invoices, pre-start checks etc.
- Your vehicle/mobile plant register detailing servicing dates and scheduled maintenance for your fleet.



4.10 SAFETY PERFORMANCE

4.10.1

Has your organisation been prosecuted and convicted for an offence under the Health and Safety at Work (HSWA) Act 2015 in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what you were prosecuted for, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the prosecution/s.

Question Help: This is only a scoring question if you have been prosecuted. Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s.

4.10.2

Has your organisation received a Prohibition, Infringement or Improvement Notice issued under the Health and Safety at Work (HSWA) Act 2015 within the last 5 years?

Note: Any notices issued by WorkSafe, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA)?

If Yes, please:

Attach a copy of each notice and a clear outline of the corrective actions you put in place to prevent the situation/s happening again.

Question Help: This is only a scoring question if you have been received a prohibition, infringement, or improvement notice. Your score in this area will reflect what you have done to rectify the issues relating to the notice/s.

4.10.3

Has your organisation been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years?

If Yes, please:

Attach a copy of all investigation reports (or other documents outlining why you were investigated) and a clear outline of the corrective actions you put in place to control the situations and prevent them happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the investigation/s.

Question Help: This is only a scoring question if you have been investigated by an enforcement agency. Your score in this area will reflect what you have done to rectify the issues relating to the investigation.

4.10.4

Has your organisation ever been prosecuted and convicted for an offence, received infringement notices, or been investigated by an enforcement agency under the Resource Management Act or other environmental regulation or bylaw in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what the issue was, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Question Help: This is only a scoring question if you have been prosecuted or convicted for an environmental offence. Your score in this area will reflect what you have done to rectify the issues relating to the offence.

4.10.5

Have you or your workers been recognised by clients or other external bodies for health and safety excellence, innovation, or problem solving etc. in the last 5 years?

If Yes, please:

Attach a description of the award/recognition.

Attach evidence e.g. safety award, certificate, write up, or similar.

Question Help: This is a non-scoring question meant for information purposes only.



SECTION 5: INSURANCE

5.1 INSURANCE

Question Help: *Insurances are non-scoring.*

For your certificate of currency to be accepted it must:

- Display your company name
- Be current at the time of assessment
- Display the amount of coverage (usually whole rounded numbers i.e. \$10,000,000)
- Be signed and dated by your insurance provider (some exceptions if evidence is non-editable and printed on recognised providers header) At your request, your insurance provider will be able to supply you with your appropriate certificate of currency.

PLEASE NOTE: We cannot accept payment/remittent invoices, we need to see the current insurance certificate. If your insurance is paid for monthly, we will accept the certificate if it is valid for the month your prequalification was submitted and make note to clients to check for active insurance upon engagement.

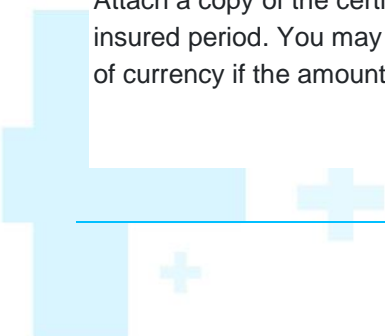
Do you hold motor vehicle insurance (third party liability) for airside activities (airport work only)?

If Yes, please:

Enter the dollar amount of cover you have for your airside motor vehicle insurance.

Enter the expiry date of your airside motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.



Do you hold motor vehicle (third party liability) insurance?

If Yes, please:

Enter the dollar amount of cover you have for your motor vehicle third party liability insurance.

Enter the expiry date of your motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold general Public or Products Liability Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your general Public or Products Liability insurance.

Enter the expiry date of your general Public or Products Liability insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

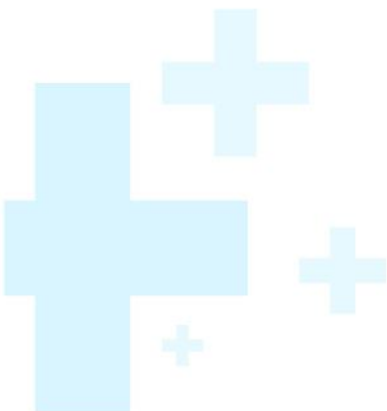
Do you hold Professional Indemnity Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your Professional Indemnity insurance.

Enter the expiry date of your Professional Indemnity insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.



Category 4 Questionnaire

CATEGORY DEFINITION		
Category 4	Main or controlling contract or	<p>You are a main or controlling contractor (category 4) if you are employed directly by the client (e.g. a property developer) to control/manage the entire job/project from beginning to completion of the job.</p> <p>You, rather than the client, provide all the health & safety management systems to be applied to the contracted work and sub-contractors e.g. Permit to Work systems, emergency management processes, incident reporting etc.</p> <p>All other contractors report to you and you set the requirements for what reporting is required by contractors, when, and how they report. You will usually present a summary of this information to the client as part of your reporting processes.</p>

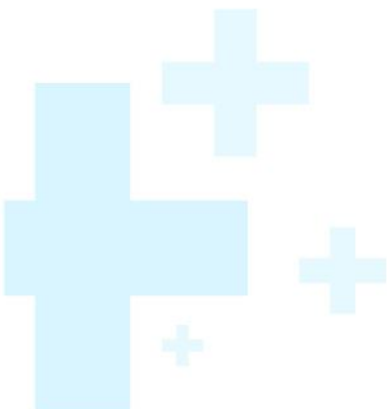
Please Note:

This copy of the questionnaire contains all the possible questions you could be asked. There may be questions that are not released to you in your online application based on the work activities you undertake.

If your application is a renewal, please check all your registration details are current to ensure you are in the correct category.

Assessment Scoring:

PREQUAL has improved our assistance to contractors during the prequalification process. As part of our service offering, we have included better **Question Help**, to aid your understanding of what evidence we expect for each question, and **General Scoring Criteria** to be clear about what we are (generally) looking for as a minimum to score full marks (a 4) for each question. It is important to remember that PREQUAL is a pan-industry prequalification. This means that whilst we have tried our best to succinctly summarise what we typically expect for each question, there will always be exceptions to these requirements.



ASSESSMENT OVERVIEW

Please provide a description of your organisation and set up.

For example, the key services you deliver, your primary work areas, any recent changes to your organisation especially if you have grown considerably or acquired other companies. This is also a space to explain any parent company/subsidiary/franchise type set ups you may be part of especially if you operate under the same centralised health and safety management system of a bigger franchisor/organisation. The more detail you provide here the better our assessment will be against your organisation's context.

(free text answer)

Question Help: *This question is non-scoring.*

What we are trying to ascertain here is who you are as an organisation, what your primary work activities are, how your health and safety management system is applied across your organisation and any recent changes that we should be aware of that may affect how your assessment is marked. The more information we have about your unique structure, the better our assessment against your organisation will be, leading to clearer outcomes for targeted continual improvement and better representation to your client for potential engagement opportunities.

SECTION 1: HEALTH & SAFETY MANAGEMENT SYSTEM CERTIFICATION

1.1

PREQUAL recognises the following Health and Safety Management System audit certifications.

- ACC Accredited Employer Partnership Programme (AEP)
- ISO 45001
- AS/NZS 4801
- OHSAS 18001

Does your organisation hold one of the above audit certifications?

Note: Certification must be current at the date of submission and from a registered provider.

View "Help" for more information.

Please attach a copy of your current HSMS audit certification.

Answer Options: YES, NO

Question Help: *This question is non-scoring.*

HSMS Audit Certification Acceptance:

Certification should cover and indicate the New Zealand division of any international organisation (exceptions may be made for some businesses. If you are unsure, please contact us)

Excluding ACC (AEP), certification must be from a JAS-ANZ registered accredited provider OR an accredited provider that falls under IAF (International Accreditation Forum) regulation.

If certifying body where you have obtained your Health and Safety Management Certification is not registered with either JAS-ANZ or IAF, we will unfortunately not be able to accept your certificate.

You will not be penalised for not having a current certification. If you don't hold a current certification, you will just have visibility of and be required to answer all assessment questions.

To check if your certifying body is an accredited provider, please see;

- <https://register.jas-anz.org/accredited-bodies> (for New Zealand)
- <https://iaf.nu/en/recognised-abs/> (for international providers)

1.2

PREQUAL recognises the following Environmental Management System certification.

- ISO 14001

Does your organisation hold the above audit certification?

Note: Certification must be current at the date of submission and from a registered provider.

Please attach a copy of your current EMS audit certification.

Answer Options: YES, NO

Question Help: *This question is non-scoring.*

Environmental Audit Certification Acceptance:

Certification should cover and indicate the New Zealand division of any international organisation (exceptions may be made for some businesses. If you are unsure, please contact us)

The audit certification must have been undertaken by an appropriate certifying body. If you are unsure, please contact us.

The most common type of certification accepted for this question is ISO 14001.

SECTION 2: MANAGEMENT, SUPERVISION & BUSINESS CONTINUITY

2.1

Please attach an organisational chart showing your management and supervisory structures.

Note: We are looking to see the names and roles of workers in key management positions as well as organisational hierarchy.

Question Help: *This question is non-scoring.*

Whilst this question is non-scoring, assessors need to sight the supervisory structure to assist with the scoring of certain assessment questions. Please ensure that you provide an organisational chart/structure that clearly shows the names of individuals in key roles. A tiered hierarchy will help us to determine who holds overall responsibility for certain aspects of management.

2.2

Does your organisation have a business continuity plan for the handling of situations that may potentially affect business activities?

Note: This question is looking specifically at business resilience and plans of action should significant disruption events occur. The plan should not be just a list of emergency procedures.

Please attach your organisation's business continuity plan/procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your organisation based on your work activities. We would expect most organisations to have some form of business continuity considerations when it comes to worker related management, broader emergency scenarios, I.T backups etc. For organisations who do not rely on supply chains to keep business functions operational, cannot effectively relocate/re-establish workspaces due to unique premises set up etc. we may accept N/A. If that is the case, please mark this question as N/A and explain.

Question Help: A business continuity plan identifies the potential risks and threats in relation to the critical operations of your business and outlines what you will do should disruption occur. As a Category 3 or 4 organisation you may potentially be a critical supplier of services to clients, therefore this plan provides assurance of your ability to provide services to clients after a critical event.

PLEASE NOTE: While specific emergency scenarios will be covered in a Business Continuity Plan, this is not the same document as your emergency scenario/response or evacuation plan.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A Business Continuity Plan that is appropriate to the size and scope of your organisation and areas of work.
- Considerations for such disruption events as; supply chain/product disruptions, emergency events and premises relocation, IT disruption/outage, critical staff loss etc.
- Key contact details for response personnel
- An indication the plan has been tested.
- An indication the plan has been reviewed/updated within the last 12 months.



SECTION 3: CONTRACTORS & SUBCONTRACTORS

3.1

Do you engage contractors (sole traders or organisations) as part of your delivery of services to your client/s?

Answer Options: YES, NO

Note: If you answer 'NO' to this question, the rest of the questions in this section will be hidden from view.

Question Help: *This question is non-scoring.*

If you engage any contractors, regardless of the type of contractor, please answer this question as 'YES'. If you don't engage any contractors simply answer this question 'NO'.

3.2

Please provide a brief description of how you engage contractors to assist you in delivering work to your clients. Please ensure to include the following in your response:

- 1) The number of contracting organisations/companies you typically use (i.e. "We engage 8 organisations to assist with delivering services to our clients").
- 2) Excluding contractors from organisations indicated above, give an approximate number of individuals you typically use (i.e. "We use up to 12 Sole Traders/Labour Only Hire individuals").
- 3) An indication of how frequently you use contractors (i.e. "We use contractors on a weekly basis").

(free text answer)

Note: If you clearly only engage Sole Traders or Labour Only Hire as contractors, please indicate this in your response and mark the rest of the questions in this section as N/A. Assessors will make it clear on your report for clients to see that you don't engage contractors (other than Sole Traders and Labour Only Hire) and that you have not been assessed against contractor management questions in this section. It is important that you accurately represent your contractor use to your clients to ensure appropriate engagement opportunity.

Question Help: *This question is non-scoring.*

This question is trying to establish what type of contractors you use. The type of contractors will determine how you need to answer the following questions. It is important that you provide the details we are asking for here so an assessor can make an informed decision about how to represent your organisation to your client in your prequalification report. Misrepresentation here may require you to be re-assessed against these questions at a client's request. This will incur a fee.

3.3

Do you have an overarching contractor/subcontractor management procedure?

Please attach your contractor management procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: A contractor management procedure is an overarching procedure or guideline for how you will manage your contractors and should detail the following elements:

1. How you prequalify your contractors i.e. internal, external, who is responsible, how this is undertaken etc.
2. Contractor selection, setting of KPI's, and minimum requirements setting i.e. how contractors are chosen for particular works, your expectation or requirements for KPI's and minimum health and safety expectations.
3. Pre-commencement including induction and safety documentation requirements/sign off (e.g. Site Safety Plans) i.e. your induction/onboarding process, requirement and review of any specific project/on-site documentation.
4. How you monitor/inspect and audit/review your contractors i.e. your contractor inspection process, frequency, documentation audits, and post completion health and safety review requirements/feedback.

The following questions in this Contractor Management section will request to see evidence you are following your contractor management process.

General Scoring Criteria: To score well in this question you will need to provide:

- A contractor management procedure that covers off the elements outlined in the question help with clear detail about how each contractor management step is undertaken.

3.4

Do you have a process to prequalify your contractors?

Please attach 2 recently completed prequalification's for two of your contractors (one for each contractor).

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required health and safety systems and capabilities to keep people safe when working for you.

A prequalification assessment will generally check the following areas of your contractors:

- Management and commitment
- Work procedures and documentation
- Training and licenses
- Hazard management
- Incident management
- Plant and equipment management
- Monitoring and auditing
- Prosecutions
- Insurances

A prequalification is generally a questionnaire type document that requires evidence to be submitted, reviewed, and assessed by your internal health and safety resource. Depending on how the contractor

performs with the assessment (quality of evidence and subsequent outcome) will determine if you are comfortable with using this contractor on your site.

Note: It is acceptable practice to use an external prequalification service (such as IMPAC PREQUAL) to undertake your prequalification assessments on your behalf. If this is your process, please provide an externally completed prequalification for two of your contractors.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x completed contractor prequalification's clearly showing; contractor organisation name, the questioning the contractor is required to answer, sign off/approval.
- Your prequalification will require submission of evidence by the contractor for assessment.
- There should be a good level of questioning, generally aligning with the Question Help at minimum.
- Evidence should be no more than 2 years old.

3.5

Do you have a process/procedure for setting minimum health and safety requirements for your contractors?

Please attach a copy of your minimum health and safety requirements that contractors must follow when working for you.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

Question Help: Minimum health and safety requirements are an agreement between you and your contractors, outlining your expectations and the minimum standards you require from your contractors when working for you. This should include adherence to legislative requirements, your internal health and safety requirements and any other rules you have.

Note: These requirements are not what you as an organisation are expected to do, rather the expectations you have of your contractors. They should read as prescriptive requirements.

Minimum health and safety requirements are also not to be confused with induction requirements which are assigned at the individual worker level.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A suitable list of minimum health and safety requirements that your contractors are expected to abide by when working for you.
- Minimum health and safety requirements will include legislative and internal requirements.

3.6

Do you have a process/procedure that requires contractors and subcontractors doing work for you directly, or on projects/jobs you control, to develop Work Method Statements (WMS) for their activities?

Note: A Work Method Statement is different from a Job Safety Analysis (JSA) and a SSSP. See the question help for definition of Work Method Statement.

Please:

Attach your procedure or description of the process.

Attach 1 recent example of a Work Method Statement completed by one of your contractors.

Answer Options: YES, NO, N/A

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH. This question will also be N/A if your contractors are not undertaking high risk work that generally requires a Work Method Statement i.e. explosives or construction demolition, large scale crane lifting activities, earthmoving activities, high voltage electrical work etc.

Question Help: Work Method Statements (WMS's) are documents that detail how project work or longer-term service contract work will be carried out by an organisation (sometimes in conjunction with their subcontractors) and how hazards or risks are to be controlled. They often consist of content falling between what is considered to be a Site Specific Safety Plan and a Job Safety Analysis.

NOTE: Please do not provide a JSA or SSSP as evidence for this question as a WMS is not the same as these documents and will not be accepted as evidence. A WMS is generally used when significant high-risk work is being undertaken i.e. explosives or construction demolition, large scale crane lifting activities, earthmoving activities, high voltage electrical work etc.

Most WMS documents should contain:

- Description, timing & sequence of scope of works
- Plant and equipment to be used
- Materials to be used
- Impact on other works
- Hazard analysis (including any JSA requirements)
- Loading/unloading and laydown requirements
- Training & competency records
- Traffic requirements
- Emergency procedures for the work
- Control of Subcontractors

This question is looking for your internal process that outlines your requirement for contractors and/or subcontractors to develop WMS documents, as well as a recently completed WMS from one of your contractors.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A process/procedure that outlines your requirements for contractors/subcontractors to develop WMS's. This should detail when a WMS is required, acceptance criteria and process etc.
- One completed WMS that has been developed by your contractors/subcontractors.
- The WMS should generally include the content outlined in the Question Help.
- The WMS should be signed by all those involved in the work.

- Evidence should be no more than 2 years old.

3.7

Do you set health and safety key performance indicator's (KPI's) for your contractors?

Please attach examples for 2 of your contractors (e.g. KPI's set/assigned to two different contractors). Include evidence of the current status against those measures (e.g. current statistics)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH

This question may also be N/A to you if you are infrequently engaging contractors and only for short duration work. If this is the case, please mark this question as N/A and explain.

Question Help: Health and safety Key Performance Indicators (KPIs) are quantifiable measurements that provide a measure of the health and safety performance of your contractors. They're often categorised into lagging (reactive) and leading (proactive) indicators. KPIs must be quantifiable. General business objectives and organisational targets are not considered to be health and safety KPIs.

Examples could include:

Lead (Positive) Indicators:

- Health and safety meetings held
- Audits and inspections completed
- Training courses completed
- Corrective action completion rates
- Behaviour/attitude surveys completed

Lag (Negative) Indicators

- Injury frequency and severity rates
- Lost Time Injuries
- Property damage incidents
- Costs

KPIs should be set for your contractors when they are engaged for frequent or long duration projects. This question requires you to provide evidence of the KPIs that you set for your contractors AND the current statistics of those set KPIs for those two contractors.

General Scoring Criteria: *To score well in this question you will need to provide:*

- An appropriate mix of lag and lead indicators for 2x contractors that are engaged for frequent or long duration work.
- Current statistics for the set and tracked KPIs must be provided.
- The contractors must be clearly identified.

Note: For the purposes of the prequalification, we are trying to establish if you can manage contractors in an appropriate manner. Combining your internal KPI statistics with your external contractor KPIs with no way to distinguish between statistics is viewed as an unfavourable practice and will not pick up marks. If you expect the same KPIs from your contractors as you do your internal workers, please distinguish this clearly.



3.8

Do you induct your contractors into your health and safety programme?

Please:

Attach a copy of your contractor induction content.

Attach evidence of 3 recently completed contractor inductions.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: A contractor induction programme introduces a contractor into your workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including hazards, risks, and controls.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Contractor responsibilities
- Injury management process
- Communication
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed induction forms OR site induction sign on, and the content covered in the induction e.g., worker handbook, safety manual, power point, site specific safety plan etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 3x most recently completed contractor inductions (signed, dated by contractor and where necessary, the employer)
- Inductions will clearly show what organisation the contractor is from

- Induction content will be descriptive and cover off the minimum expectations as outlined in the Question Help.

3.9

Do you audit your contractor's Site Specific Safety Plans (SSSPs)?

Please attach evidence of 1 completed contractor SSSP audit.

Note: This is not a pre-work signoff of a SSSP, rather an audit you have undertaken of a live contractor SSSP. As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire OR if you do not require your contractors to produce SSSPs for the work they undertake. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: A Site Specific Safety Plan (SSSP) is a document generally used for long duration works and outlines project methodology including all the site specific details required to undertake work for a specific piece of work. If you require your contractors to produce SSSP they will supply this document for your review and approval prior to working on site.

NOTE: This question is **not** looking for a pre-work review and approval of a SSSP, rather an audit of an active SSSP (or a SSSP that was active at the time of audit). This question is also not looking for a site inspection.

As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls. It is also important to ensure that the key expectations of the SSSP are being met i.e. are the appropriate number of safety meetings being held, are inspections being carried out at the frequency dictated in the plan, are all hazardous substances on site included in the inventory within the SSSP, are all incidents being reported and to the correct stakeholders etc.

We do not need to sight the actual SSSP itself for this question.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed contractor SSSP audit.
- The audited contractor's organisation name will be clearly visible on the audit.
- The audit should assess each section of the SSSP to ensure methodology and requirements are being adhered to.
- Evidence should be recent (ideally from within the past 12 months)
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

3.10

Do you ensure your contractors hold or are included in shift/daily pre-start meetings (or similar)?

Please attach 3 items of evidence of this being undertaken (e.g. pre-start meeting minutes or similar).

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: Shift or daily pre-start meetings are held at a team level at the start of each day or shift to discuss the planned operations and requirements, including those relating to health and safety. Often contractors will attend a wider meeting of contractors.

Evidence of attendance to either wider pre-start meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your workers) have attended these meetings.

Where possible, we recommend submitting consecutive daily pre-start meeting minutes to show that these meetings are held regularly. For the purposes of this prequalification, we also accept JSA type documents that outline the risks, controls, health and safety information and any specific conditions on site. These types of documents must be signed onto by contractors undertaking the work to acknowledge their understanding and sighting of the information.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x pre-start meeting (or similar) with discussed health and safety content.
- The minutes should be specific to the activities being undertaken on site that day.
- Contractors (organisation name) must be clearly displayed.

- The evidence should be recent (ideally from within the last 12 months).
- Dated and signed by those in attendance.

3.11

Do you hold regular project management meetings with contractors, clients and other key stakeholders where health and safety is a set agenda/discussion item?

Please attach 3 sets of minutes from a recent project/s that show health and safety was discussed at project management meetings.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: Project Management Meetings refer to meetings held at a project level where the stakeholders get together to discuss the project's goals, assigned tasks, progress and health and safety. They could include the project managers, client representatives and contractors.

For the purposes of the prequalification, we are only assessing the health and safety component of these meetings so if certain other aspects need to be redacted, please feel free to do so. General health and safety meetings will not be accepted as evidence for this question.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x sets of Project Management Meetings
- Project Management Meetings will have health and safety as an agenda item with clear discussion content.
- The quality of the content will be assessed for pro-active health and safety discussion.
- Evidence should be from within the past 12 months.
- Meeting attendees will be clearly identified with their organisation name clearly visible.

3.12

Do you have a process/procedure to inspect/monitor your contractors health and safety activity on the job?

Note: This will typically take the form of a physical works inspection.

Please attach 3 recently completed contractor inspections.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH.

Question Help: A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations. This will be undertaken whilst work is in progress.

Note: This does not refer to a behavioural observation inspection on its own.

If your contractor inspections are undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified (organisation name).

General Scoring Criteria: To score well in this question you will need to provide:

- 3x completed contractor inspections (clearly identifying contractors being inspected).
- Inspection items should be relevant to your contractor's work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).
- Any corrective actions should be noted down on the inspections with actioning/follow up and sign-off clearly identified to track and rectify any issues.

3.13	<p>If YOUR contractors engage their own contractors when undertaking work for you, do you ensure YOUR contractors inspect/monitor THEIR contractors health and safety activity on the job?</p> <p>Note: This will typically take the form of physical works inspection.</p> <p>Please attach 3 recently completed inspections carried out by your contractors for their contractors.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH. If your contractors do not engage their own contractors, please mark this question N/A and explain.</p>
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Question Help: This question is asking if you ensure YOUR contractors undertake health and safety inspections of THEIR contractors that they may subcontract work to and therefore engage on your site. If you do not allow your contractors to further subcontract out work, then this question will be N/A for assessment purposes.

A health and safety inspection of a contractor's activity on the job is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, and individual behaviours are meeting required expectations. This will be undertaken whilst work is in progress.

Note: This does not refer to a behavioural observation inspection on its own.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x completed inspections from your contractors inspecting their contractors (clearly identifying the contractor undertaking the inspection and the contractor being inspected).
- Inspection items should be relevant to the contractor's work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).

- Any corrective actions should be noted down on the inspections with actioning/follow up and sign-off clearly identified to track and rectify any issues.

3.14

Do you have a process to provide your contractors with post-contract or periodic health and safety feedback/reviews?

Note: Post-contract/periodic reviews provide contractors with meaningful feedback regarding their health and safety performance over the course of the job/project.

Please attach 2 completed post-contract contractor reviews.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

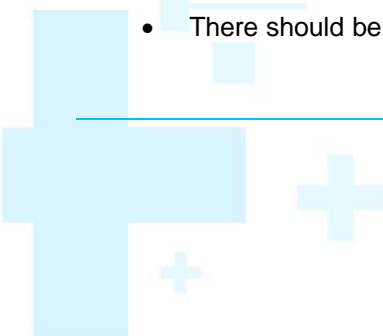
This question will be N/A to you if you only engage Sole Traders or Labour Only Hire. If this is the case, please mark this question as N/A and state "Contractors are only ST's/LOH."

Question Help: Post-contract health and safety reviews are either held with or provided to contractors after a project or a significant piece of work has been completed, or periodically. They help to improve contractor performance in the future by evaluating how effectively health and safety was integrated into the key stages of a project (i.e. what worked well and what needs improvement).

Note: These may be undertaken as part of a wider post-contract review incorporating i.e., quality, environmental, financial etc. For this prequalification, we only need to see the health and safety component.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed post-contract health and safety reviews (clearly displaying contractor name).
- The reviews will focus on both positive observations and improvement opportunities.
- The evidence should be recent (ideally from within the last 12 months).
- There should be acknowledgement that the contractor has sighted and signed the reviews.





SECTION 4: HEALTH & SAFETY

4.1 HEALTH & SAFETY MANAGEMENT & COMMITMENT

4.1.1

Do you have a health and safety policy statement?

Note: We are not looking for your entire Health and Safety Manual for this question.

Please attach a recently signed and dated copy of your organisation's health and safety policy statement.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety policy statement sets out your approach, commitment, and intentions to workplace health and safety and should be accessible to the relevant workers, visitors, and other stakeholders. It is generally a one – two-page document and should be signed by the PCBU/top management.

General Scoring Criteria: To score well in this question you will need to provide:

- A health and safety policy statement with a good outline of clear legislative and organisational expectations for example:

Commitment to comply with relevant legislation and good practice.

Commitment to consult with employees in managing health and safety.

Referral to responsibilities of all involved in the organisation in creating a safe healthy environment.

- A health and safety policy statement that has been signed and dated within the last 2 years.
- A health and safety policy statement that has been clearly signed by the organisation's Owner, Managing Director, CEO etc.

4.1.2

Are health and safety accountabilities/responsibilities allocated to key management roles within your organisation?

Please attach 2 different examples of management roles where specific health and safety responsibilities are assigned.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: This question is looking to see if health and safety accountabilities/responsibilities, specifically, have been allocated to individuals who hold key positions within your organisation. Job descriptions for named persons/roles should outline key health and safety expectations and describe who is responsible for various health and safety activities (e.g. planning, management, hazard and risk management etc).

Whilst these accountabilities/responsibilities may be listed in a specific role description, they may also be outlined in your health and safety management system/plan. Either is acceptable as evidence. We would advise you to give us upper management accountabilities/responsibilities because there is an expectation that an organisation is aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

General Scoring Criteria: To score well in this question you will need to provide:

- Minimum of 2x key management job/role descriptions outlining all of the health and safety accountabilities/responsibilities assigned to those roles

OR

- An excerpt from your health and safety management plan detailing different roles and their health and safety accountabilities/responsibilities.

The descriptions should have:

- An appropriate level of responsibility assigned to each role
- Non-generic accountabilities/responsibilities
- Accountabilities/responsibilities should be for upper management roles

4.1.3	<p>Do you regularly review the performance of individuals in key management roles to ensure they are achieving their assigned health and safety accountabilities/responsibilities?</p> <p>Please attach 2 completed health and safety performance reviews for workers in management roles (from the past year).</p> <p>Note: If this is done as part of a wider performance review, please ensure only the health and safety element is visible if information is sensitive.</p> <p>Answer Options: YES, NO</p>
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Question Help: Health and safety performance review is a process where role accountabilities/responsibilities are regularly reviewed to ensure that appropriate performance, objectives, and targets are being met. Health and safety performance reviews are often included in broader performance reviews. If this is the case, please feel free to redact any personal identifiers from submitted evidence.

Please ensure that all reviews are of individuals that hold key management positions.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x health and safety performance reviews for two individuals in key management positions
- Reviews should focus on how key health and safety objectives/role responsibilities have or haven't been met
- Evidence should be from within the last 12 months.



4.1.4	<p>Who is the most senior person in your organisation with overall responsibility for health and safety management and what is their role?</p> <p>(free text answer)</p>
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Question Help: This question is simply asking who (name/s) has overall responsibility for health and safety in your organisation and what their role (job title) is.

General Scoring Criteria: To score well in this question you will need to provide:

- An appropriate named individual and their role title that aligns with other evidence provided in assessment regarding organisational structure etc.

4.1.5	<p>Who provides your company with health and safety advice and support e.g. Internal Health and Safety Advisor/Manager or External Consultant? (free text).</p> <p>Include the following in your answer:</p> <ol style="list-style-type: none"> 1. The name of the individual (internal or external) or external organisation. 2. The health and safety qualifications of the individual (internal or external) or of key people within the external organisation. 3. The level of health and safety experience of the individual (internal or external) or of key people within the external organisation. <p>(free text answer)</p>
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Question Help: This question is asking you if you receive regular/ongoing (not one off) qualified health and safety advice from either an internal or external health and safety professional/s (individual OR organisation). If you receive advice from an organisation with multiple individuals, please provide the names, years of experience and qualifications from those individuals you have dealt with.

Weighting is placed on the level of qualification, but absence of qualification with industry experience (number of years) may be considered for a lower score.

Note: We undertake due diligence checks to ensure any named individual/s hold the indicated qualification/s. We have an obligation to report suspected instances of false qualification held by a health and safety professional.

General Scoring Criteria: To score well in this question you will need to provide:

- The name/s of an individual/s and their specific health and safety qualifications (scoring will decrease as an individual/s hold a lesser level health and safety qualification – in line with New Zealand Qualifications Framework. To score a 4 requires a level 8 qualification).
- The number of years of specific health and safety related work experience the individual/s have.

4.1.6

Is H&S a fixed agenda item at your management/operations meetings?

Please attach 3 sets of minutes from within the last 12 months that show health and safety was discussed at management/operations meetings.

Note: A management meeting agenda will not be accepted as evidence.

Answer Options: YES, NO

Question Help: This question is wanting to see if you have regular Management or Operation level meetings where health and safety is a consistent agenda item. These meetings are held with upper/senior management hosting or in attendance and are generally where wider organisational discussions take place.

Note: We are not looking for just a meeting agenda OR lower level (general) health and safety meetings that management are involved in/attended. Evidence of this nature will not be accepted.

We recognise that sensitive/commercial business discussions may take place in these meetings. For the purposes of the prequalification, please redact any information that you do not feel comfortable sharing. This assessment is only looking to view the health and safety component of these meetings.

General Scoring Criteria: To score well in this question you will need to provide:

- Two sets of Management/Operation level meetings where health and safety is discussed as a regular agenda item
- Meetings will not be general health and safety meetings/simply an agenda.
- The quality of the discussion content will be assessed. We will be looking for not only reactive health and safety discussion but proactive discussion too.
- Evidence should be from within the last 12 months and ideally consecutive to demonstrate frequency.

4.1.7

Do you set health and safety key performance indicators (KPI's) for your organisation and is performance monitored by management?

Please attach your process/procedure covering the following:

1. What KPI measures (lag and lead indicators) are being used/captured
2. How frequently KPI's are being looked at by management.

Attach evidence of the current status against those measures e.g. KPI reports, evidence of KPI's in meeting minutes, current statistics (e.g. LTIFR, TRCFR).

Answer Options: YES, NO

Question Help: Health and safety Key Performance Indicators (KPIs) are quantifiable measurements that provide a measure of the health and safety performance of your organisation. They're often categorised into lagging (reactive) and leading (proactive) indicators. KPIs must be quantifiable. General business objectives and organisational targets are not considered to be health and safety KPIs.

Examples could include:

Lead (Positive) Indicators:

- Health and safety meetings held
- Audits and inspections completed
- Training courses completed
- Corrective action completion rates
- Behaviour/attitude surveys completed

Lag (Negative) Indicators

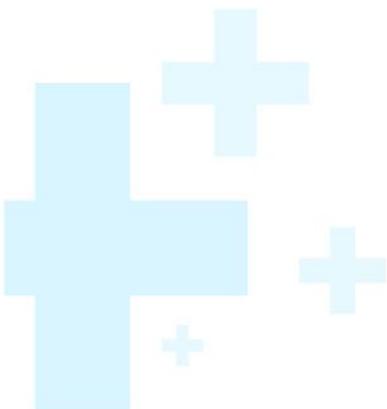
- Injury frequency and severity rates
- Lost Time Injuries
- Property damage incidents
- Costs

We are looking for your process/procedure that sets out what KPIs you are recording, the frequency of reporting, who is responsible for tracking etc.

We are also wanting to see your current statistics for recorded KPIs. To demonstrate this, you could provide current graphs, data spreadsheets, dedicated KPI reporting for health and safety meetings etc.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A process/procedure setting out what KPI are recorded, the frequency, responsibilities etc.
 - An appropriate mix of lag and lead indicators for your organisation
 - Current statistics for the set and tracked KPIs
-



4.2 SAFE WORK PROCEDURES & PRACTICES

4.2.1

Do you produce and implement Standard Operating Procedures/Safe Work Procedures relating to the work you undertake?

Please attach 3 current examples.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.

Question Help: SOP's/SWP's (Safe Operating Procedures/Safe Work Procedures) are procedures that are in place to describe how to carry out standard tasks in a consistent and safe manner. They are commonly used for on-the-job training and are about standardised activity with limited to no potential for variation. They include a step-by-step guide to use a specific piece of equipment or to carrying out a specific task and include the hazards and risks involved and the controls to prevent harm.

They do not refer to generic safety procedures such as personal protective equipment management, generic chemical handling, or workplace inspections and are not to be confused with a Job Safety Analysis (JSA) as these are typically applied where the approach to the work activity, or the environment in which it is carried out, has the potential for variation.

SOP's/SWP's should be developed internally or specifically for your organisation. Whilst using industry standards, code of practice etc. may be applicable in some instances, this prequalification is assessing your ability to develop and implement your own internal instructions and procedures to ensure that information is directly relevant to your operations.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x different SOP's/SWP's that are relevant to your organisation and the work activities you undertake.
- An appropriate level of detail that outlines the steps required to undertake the task/use the piece of equipment.
- Identification and appropriate controls for hazards/risks that are likely to be encountered including PPE to be worn.

4.2.2

Do you have a process/procedure to periodically review your Standard Operating Procedures/Safe Work Procedures referred to in the question above?

Please:

Attach your SOP/SWP review procedure or description of your process.

Attach recent evidence showing you do this e.g. review records, comparison of original and updated procedures.

Note: We are looking for your SOP/SWP review procedure specifically, not a wider health and safety documentation review description.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

	This question may not be applicable to your work activities i.e. you are office based and do not require SOP's/SWP's. If that is the case, please mark this question as N/A and explain.
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Question Help: SOP/SWP review refers to how, when, and why you review your work instructions i.e., by what means, what time intervals, what may require you to review your work instructions and who this is done by. This question is looking for you to provide a procedure for the process you follow to ensure that SOP's/SWP's remain current and fit for purpose.

We also require evidence of SOP's/SWP's being reviewed. This could be demonstrated by old vs new documents showing changes made, a review register displaying review cycles and an indication of what the updates included etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A process/procedure that clearly explains how you review your SOP's/SWP's, the frequency of these reviews, and the reasons why review may be required.
- Evidence of SOP/SWP reviews being undertaken.

4.2.3	<p>Are you required to develop Site Specific Safety Plans (SSSP's) when working for clients?</p> <p>Please attach 2 recently completed SSSPs.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities and/or you may not be required to produce SSSP's for your client/s for the work you do. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A Site Specific Safety Plan (SSSP) is a document showing how health and safety is to be managed for a given project or service. SSSP's are more likely to be completed for long duration or complex work. SSSP's typically cover:

- H&S Structure and Responsibilities
- Methods of communicating H&S
- Hazard and risk management processes including site risk register
- Management of contractors/subcontractors
- Training and competency including induction
- Incident reporting and investigation
- Emergency response
- Audit and inspection
- Site specific project methodology should be included to ensure the plan does not appear generic

For the purposes of assessment, a signed off / working SSSP is required. This means the SSSP has been signed by both contractor (yourself) and client to agree it is approved for use.

General Scoring Criteria: To score well in this question you will need to provide:

- 2x completed SSSPs which (generally) include the sections outlined in the Question Help.
- Evidence the SSSP has been signed or approved internally and by the client.
- Evidence should be from within the last 2 years.

4.3 RISK MANAGEMENT

4.3.1

Do you have a procedure or process for identifying, controlling, and reviewing hazards that you deal with?

Please:

Attach your hazard management procedure or a description of your process.

Attach 2 items of evidence of your process/procedure in practice.

Attach your Hazard/Risk Register.

Examples of evidence include:

1. Completed hazard identification, job safety analysis, task analysis forms
2. Reports of new hazards in meeting minutes etc.
3. Hazard report forms

We will be looking for:

1. A description/guidance on what types of hazards that are likely to be encountered in your line of work.
2. The different ways hazards are identified in the business.
3. The approach to controlling identified hazards.
4. How identified hazards are monitored and reviewed

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A hazard/risk management procedure or process will describe how your organisation systematically identifies hazards, assesses their risk, and applies a 'hierarchy of control' to manage this risk. It will also describe how these hazards/risks and controls are monitored and reviewed (how, who by, frequency).

A hazard/risk register will display all hazards/risks that you have identified within your workplace showing the controls you have established to minimise or reduce the likelihood of those hazards/risks occurring or causing significant harm. Assessors check to see that expected hazards/risks are identified and align with your work activities.

To support this question, evidence in practice should clearly show hazards/risks being identified and controlled. This could be through the use of hazard report forms or could be evidence such as a completed JSA, Task Analysis,

Hazard ID etc. where we can see you have the knowledge of how to identify hazards/risks for a piece of work/task and apply appropriate control measures.

General Scoring Criteria: To score well in this question you will need to provide:

- A hazard/risk management procedure/process that aligns with best practice i.e., how to identify, risk assess, control, monitor, record, and review hazards/risks.
- A non-generic hazard/risk register that identifies hazards/risks that align with your specific work activities. This should cover your entire organisation i.e., not just a hazard/risk register for a specific job or location in your workplace.
- Clear periodic review and monitoring of hazards/risks.
- Appropriate and critically thought-out controls.
- 2x pieces of evidence of your procedure/process in practice i.e., completed hazard report forms, discussion and control of new hazards identified in meeting minutes, JSA's (or similar) showing you can apply hazard/risk management processes.
- Evidence should be from within the last 2 years.

4.3.2	<p>Do you have a Permit to Work (PTW) system that you utilise on sites/projects that you control?</p> <p>Please: Attach your Permit To Work procedure. Attach 3 recently completed permits.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities if you do not undertake work that requires a Permit To Work system. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: A Permit to Work (PTW) system provides a structured and repeatable process to aid in mitigating risk for high-risk work activities. The Permit to Work is a documented procedure/form that authorises certain people to carry out specific work within a specified timeframe. It sets out the precautions required to complete the work safely. It describes what work will be done and how it will be done; the latter can also in addition, be detailed in a Job Safety Analysis (JSA).

Some examples of work that may require a permit to work are:

- Hot works
- Confined space entry
- Work at heights
- Electrical isolation

General Scoring Criteria: To score well in this question you will need to provide:

- Your permit to work procedure outlining when a PTW is required, training, responsibilities for authorisation and completion etc.
- 3x completed PTW documents.
- Evidence should be recent (ideally from within the last 12 months).
- PTW must be signed by those issuing the PTW and those completing the work.

4.3.3

Do you complete JSAs (Job Safety Analysis - also referred to as a Task Analysis) for the work you do?

Note: A JSA is not just a list of hazards/risks. A JSA should outline the sequence of steps required to undertake a piece of work/task and the hazards/risks associated with each step. The controls to manage these hazards/risks should also be identified.

Please attach 3 recently completed JSAs.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you don't undertake physical works and/or you may not be required to produce JSA's for the type of work you do. If this is the case, please mark this question as N/A and explain.

Question Help: A JSA will identify the steps of a task or job and the hazards/risks and controls associated with each step. A well completed JSA will clearly show the environmental situations and that it has been reviewed by those undertaking the work on site. For the purposes of assessment, the JSA will need to be signed and dated by all those involved on site.

Note: If your JSA does not identify the steps required to complete a particular task or job and instead is just a list of hazards, assessors will send your evidence back in the resubmission. We are NOT just looking for a list of hazards.

A JSA is also different from an SOP/SWP. JSAs take into account varying environmental conditions within a task/job and are completed for specific site work.

The JSA does not necessarily need to be completed on your own organisation's JSA template. In some situations, you may be required to use your client's JSA document. In this instance you can supply a copy of this JSA but clear indication that this has been completed by your own workers needs to be visible i.e., names with organisation name printed next to them.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x completed JSAs (job steps identified, hazards/risks and controls in place, signed and dated by those undertaking the work)
- Evidence should be from within the last 2 years.
- Marks will be awarded for an appropriate break down of the job/task steps relative to the work being undertaken, appropriateness of controls etc.

4.3.4

Do you have a procedure for managing the isolation (lockout-tagout) of live energy sources e.g. electrical equipment, moving machinery, hydraulics, live process lines etc?

Please attach your isolation (lockout-tagout) procedure.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

	This question may not be applicable to your work activities i.e. you don't undertake electrical works or work with equipment that would typically require the lock-out/isolation of stored energy types. If this is the case, please mark this question as N/A and explain.
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Question Help: An energy isolation procedure or process (also known as lockout-tagout) will ensure machinery or equipment is inoperable by the isolation of live energy sources to achieve a 'zero energy' state. This may include electrical, pneumatic, hydraulic, mechanical, live process lines and stored energy. Not all types of energy sources may be relevant to your organisation, but it is important to have a procedure or process for those types that are relevant.

The procedure or process should outline a set of predetermined steps to follow when workers are required to perform tasks such as inspection, maintenance, cleaning, repair, and construction to ensure the safety of those doing the work.

The isolation procedure or process should include information on:

- What types of machinery/equipment you have that requires isolation
- How to isolate energy sources and ensure a zero-energy state
- The use and placement of locks and tags
- Training and authorised personnel
- Removal of isolation/lockout-tagout
- Safe re-energisation

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that outlines the expected information listed in the Question Help
- A procedure relevant to the types of energy sources you are required to lockout-tagout

4.3.5	<p>Do you have documented procedures for general emergencies e.g. fire, medical, earthquake, flood etc.?</p> <p>Please attach a copy of your general emergency procedures.</p> <p>Answer Options: YES, NO</p> <p>Please Note: If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</p>
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Question Help: Your general emergency procedures should cover a wide range of natural and situational emergency scenarios (not just fire and earthquake). All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified emergency scenario. Lastly, we are not just looking for an evacuation plan.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected general emergency scenarios – both natural i.e. fire, flood, earthquake etc. and situational i.e. bomb threat, medical event etc.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

4.3.6	<p>Do you have documented procedures for emergencies specifically related to the work activities you undertake e.g. confined space entry, heights rescue, chemical spill, working alone, electrocution, trench collapse etc.?</p> <p>Note: For each activity specific emergency scenario we are looking for the actual steps that are to be followed in the event of an emergency, not just a document outlining the requirement to have a plan in place.</p> <p>Please attach a copy of your work activity specific emergency procedures.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you don't undertake physical works that typically require specific emergency processes. If this is the case, please mark this question as N/A and explain.</p>
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Question Help: Your activity specific emergency processes should cover all emergency scenarios related to the specific work activities you undertake. All emergency numbers should be for New Zealand based contact centres. We are looking for your actual emergency processes that are to be followed in the event of an emergency scenario (i.e. not just 'call 111'). It is an expectation that your workers will know what process to follow should an emergency event occur, and this will be detailed for each identified activity specific emergency scenario. We are not just looking for a document that outlines the requirement to have a plan in place.

General Scoring Criteria: To score well in this question you will need to provide:

- Full coverage of expected activity specific emergency scenarios. When marking this question, assessors will be keeping mind your indicated work activities and hazards/risks you have identified.
- An appropriate level of detail outlining the process to be followed in the event of each emergency scenario.
- Contact numbers and addresses for New Zealand based assistance.

4.3.7	<p>Do you have a procedure/process for managing hazardous substances?</p> <p>Please: Attach your hazardous substance management procedure or description of your process. Attach any 3 current Safety Data Sheets (SDS) that are relevant to the substances you use. Attach a copy of your hazardous substance inventory.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p>
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This question may not be applicable to your work activities i.e. you don't use or store hazardous substances. If this is the case, please mark this question as N/A and explain.

Question Help: A procedure for managing hazardous substances will describe what hazardous substances are present and how your organisation will manage any risk from the use, handling, and storage of hazardous substances.

The procedure should typically include:

- How you handle and where you store hazardous substances
- How you train workers in their safe use
- How you carry out any required monitoring of your people or their work area

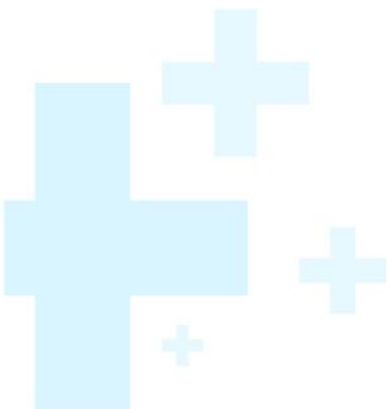
Safety Data Sheets (SDS) are also required, and these must be less than 5 years old and include the standard 16 sections.

You must include your hazardous substances inventory. This inventory must contain the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A hazardous substances procedure that includes the information outlined in the Question Help.
- 3x different Safety Data Sheets that are less than 5 years old and contain 16 sections. These must be for products you use (i.e. we will check your hazardous substances inventory).

A hazardous substances inventory that contains the relevant information required by the Health and Safety at Work (Hazardous Substances) Regulations.



4.3.8

Do you have a process/procedure for providing, maintaining, and replacing Personal Protective Equipment (PPE) for your workers?

Please attach your PPE procedure or a description of your process.

For assessment we will be looking at the coverage of the following areas:

1. What PPE is needed for what work area and/or work activity
2. When PPE is issued
3. When PPE is replaced
4. How PPE is maintained

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to your work activities i.e. you are office based, not conducting onsite work etc. Whilst most organisations will have some form of PPE if N/A is applicable, mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: Personal protective equipment (PPE) refers to all protective clothing and equipment used by an individual whereby elimination or minimisation does not entirely remove risk. The hazards and risks addressed by PPE can include physical, electrical, heat, chemicals, biohazards, and airborne matter.

Disposable PPE should be included but if you only have single use PPE, we will naturally not expect a description for maintenance and replacement.

In your description please include:

- What PPE is needed for what work area and/or work activity?
- How PPE is maintained and checked
- How and when PPE is replaced

General Scoring Criteria: To score well in this question you will need to provide:

- A description detailing what PPE is provided, this PPE should be appropriate to the hazards/risks present in your working environment.
- A description detailing how PPE is maintained (i.e. cleaned/stored correctly) and checked.
- A description detailing how PPE is replaced and when (i.e. when may replacement be necessary)

4.4 HEALTH & WELLBEING

4.4.1

Does your organisation have any form of health and wellbeing support/assistance programmes in place i.e. a wellbeing allowance, access to external wellbeing/support providers such as an Employment Assistance Programme (EAP) etc?

Please provide details on the type of support/programme you have in place and how this benefits your workers.

	<p>Answer Options: YES, NO</p> <p>(free text answer)</p>
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Question Help: Having a mental health and wellbeing support programme in place is important to assist workers who are struggling with personal issues (possibly caused as a direct result of work) and therefore facilitate a healthier working environment. *'A Worker's health is just as important as a worker's safety'*.

This question is wanting to see what types of support you have in place for workers who require mental health and wellbeing assistance. Internally you may run specific programmes or initiatives to provide workers with support. Externally, Employee Assistance Programmes (EAP) services, or similar, are commonly used by organisations to act as a form of counselling for those in need. We are looking for a description of the type of support programme/initiative, how this helps your workers, who it is funded by etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the type of support programme/initiative and how this helps your workers.
- A more formalised approach will score higher here.

4.4.2	<p>Do you provide any form of mental health/wellbeing training for workers?</p> <p>Please describe the type of training, provider and outcomes of this training. Be sure to include the dates training was undertaken.</p> <p>Answer Options: YES, NO</p> <p>(free text answer)</p>
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Question Help: Having workers trained in matters of mental health and wellbeing is important to be able to recognise associated risks and therefore implement appropriate controls to ensure worker safety. *'A Worker's health is just as important as a worker's safety'*.

This question is looking to see if you provide any specific mental health/wellbeing training for your workers. This could be in the form of internal or external mental health/wellbeing training i.e. workshops, specific courses (Mental Health First Aid), management training, seminars or facilitation of personal development etc.

General Scoring Criteria: To score well in this question you will need to provide:

- A description of the type of training provided, the provider, the outcomes of this training, when training was delivered and who received this training.
- A more formalised approach will score higher here.

4.4.3	<p>Do you have a drug and alcohol policy/procedure in place for your workers?</p> <p>Please attach your drug and alcohol policy/procedure.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p>
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	This question may not be applicable to your work activities i.e. you are office based etc. If N/A is applicable, mark this question as N/A and explain.
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Question Help: A drug and alcohol policy/procedure will outline your organisation's expectations on these substances in the workplace and detail your controls around associated risks.

Your policy/procedure should generally outline:

- Expectations & Misconduct.
- Testing process (and important intervals).
- Any rehabilitation outcomes you may have.

NOTE: the term 'policy' is used here to aid understanding of what this document may be colloquially called. This question is wanting to see your actual process for drug and alcohol control. If this is covered in your 'policy' please supply that. If you need to provide an actual procedure to detail the expected content, please do so.

General Scoring Criteria: To score well in this question you will need to provide:

- A drug and alcohol policy/procedure that is appropriate for the size and risk profile of the organisation
- The policy/procedure should cover the general expectations as outlined in the Question Help.

4.4.4	<p>Do you have a process/procedure for carrying out health monitoring on workers who are exposed to workplace health hazards?</p> <p>Please attach your health monitoring process/procedure.</p> <p>Note: Personal health records are not required.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your work activities i.e. you are office based, have undertaken a risk assessment on your work environment and ruled out potential exposure to health related risks etc. If N/A is applicable, mark this question as N/A and explain.</p> <p>Please Note: If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</p>
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Question Help: Health monitoring refers to the testing of individuals to identify any changes in their health status due to exposure to health hazards arising from their work. This is to detect if a worker's health is being harmed (e.g. hearing, sight, blood or lung function testing).

The procedure should include:

- The identification of health risks within your work environment
- The type of monitoring or testing undertaken
- The processes for consent and recordkeeping
- The response to evidence of minimised health/suboptimal results
- Testing frequency/timeframes

NOTE: For confidentiality purposes, we do not require copies of monitoring records.

General Scoring Criteria: To score well in this question you will need to provide:

- A health monitoring process/procedure that aligns with the expected health risks encountered in your area of work.
- The process/procedure should cover the general expectations as outlined in the Question Help.

4.5 INCIDENT REPORTING & INVESTIGATION

4.5.1

Do you have an incident reporting procedure?

Please:

Attach your incident reporting process/procedure

Attach your incident register from the past year

Attach 3 completed incident report forms

We will be looking for the following content in the procedure:

1. How incidents are reported
2. How you report Notifiable Events, Illness and Injuries to WorkSafe
3. Notification of incidents internally and to your clients
4. How you store incident records

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident reporting procedure ensures that all incidents that do or have the potential to cause harm, are reported. This will lead to the review of controls if needed. In addition, it ensures legal requirements are met when providing information and working with government regulatory bodies as required.

- The procedure should typically include:
- How incidents are recorded and who they are reported to
- Reporting timeframes
- How notifiable events are managed
- How and where incident records are stored

An incident register is generally where records are stored. This could be physical or digital with many online systems currently used to store this information. If you are using an online system, please export data or take screen shots for upload to your assessment.

Incident reporting forms should be completed to record and detail any incident/near miss that takes place within your workplace.

Note: A lack of working evidence to supply would generally indicate to us that incident reporting is not taking place, not that no incidents/near misses have occurred. If you do not have recent evidence, please provide evidence of any age. If, even with these exceptions, you have not had any incidents/near misses to report, please attach an explanation to suggest this and at minimum provide the incident reporting and incident register templates you would use.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure that outlines the information in the Question Help
- An incident register that shows all incidents/near misses that have been reported within your organisation for the past year.
- 3x completed incident reports.

4.5.2

Do you have an incident investigation procedure?

Note: This may be part of the incident reporting procedure - if it is, please also attach it to this question.

Please:

Attach a copy of your incident investigation process/procedure.

Attach 2 completed incident investigation forms.

We will be looking for the following content in the procedure:

1. How it is determined which incidents are investigated
2. How incidents are investigated (we will be looking for the use of root cause analysis)
3. Who is responsible for investigating incidents?
4. How investigation findings are agreed, and corrective actions implemented

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An incident investigation procedure ensures that all incidents are investigated, as appropriate. This will lead to the review of controls if needed. In addition, it ensures legal requirements are met when providing information and working with government regulatory bodies as required.

The procedure should typically include:

- Which incidents are to be investigated and by who
- The investigation processes
- How corrective actions are implemented
- How notifiable events are managed

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure that outlines the information in the Question Help
- 2x completed incident investigation reports.

- Whilst the investigation will be relevant to the size and scope of the incident, we will be looking for good root cause analysis.

4.5.3

Do you have trained incident investigators?

Note: Types of training we are looking for could include ICAM Investigation Techniques, US17601 etc. Any records provided should identify the course and level achieved (e.g. pass, completed etc.)

Please attach a copy of the nominated incident investigator's training records or certificate of completion.

Answer Options: YES, NO

Question Help: Having suitably trained incident investigators will mean that robust investigations are undertaken for relevant incidents where root cause analysis is required. This will help to facilitate appropriate risk control review and updates. Incident investigation training can be internal or external with a higher score being awarded for specific/recognised investigation training i.e. ICAM, US17601 etc. vs someone who has been internally taught how to investigate incidents.

NOTE: PREQUAL does accept a wide range of incident investigation training types however for lesser known certifications/courses we make an assessment based on the course content and duration.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A named incident investigator. You should have ongoing access to this individual/s for investigations as required, not have been consulted by them on a 'one off' basis.
- The training course/certification they have achieved. This may be a record of training showing a pass mark or the completion certificate itself.



4.6 WORKPLACE AUDIT & INSPECTION

4.6.1

Do you conduct regular health and safety inspections of your work areas? (e.g. offices, work sites etc.)

Please:

Attach a description of how and when you do this (your process)

Attach 3 recently completed inspections

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work areas. Whilst most organisations should have some form of work area for inspection, certain allowance may be made for small home offices etc. If so, please mark this question as N/A and explain.

Question Help: Workplace inspections help prevent injuries and illnesses through frequent examination of the workplace and formally identifying and recording hazards/risks for corrective action. A formalised process is expected to identify, record hazards, and follow up with corrective actions. This can include offices, warehouses, vehicles, workshops or any site where work is performed.

Please note: A workplace inspection needs to include physical environment checks not just safe worker behaviour.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x completed workplace inspections.
- Inspection items should be relevant to your work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

4.6.2

If you produce Site Specific Safety Plans, do you undertake audits of your working SSSP's to ensure that health and safety expectations and project methodologies on site are being adhered to in accordance with the SSSP?

Note: We are not looking for a pre-work signoff of a SSSP, rather an audit of a working SSSP. As a project progresses it may be necessary to audit and update the SSSP to ensure that it remains current for project methodologies and health and safety controls.

Please attach 1 recently completed SSSP audit.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities i.e. you may not be required to/do not produce SSSP documents. If so, please mark this question as N/A and explain.

Question Help: A Site Specific Safety Plan (SSSP) is a document generally used for long duration works and outlines project methodology including all the site specific details required to undertake work for a specific piece of work. If you produce SSSP's for the work you do this question is looking for a SSSP audit.

NOTE: This question is **not** looking for a pre-work review and approval of a SSSP, rather an audit of an active SSSP (or a SSSP that was active at the time of audit). This question is also not looking for a site inspection.

As a project progresses it may be necessary to audit and suggest updates to the SSSP to ensure that it remains current for project methodologies and health and safety controls. It is also important to ensure that the key expectations of the SSSP are being met i.e. are the appropriate number of safety meetings being held, are inspections being carried out at the frequency dictated in the plan, are all hazardous substances on site included in the inventory within the SSSP, are all incidents being reported and to the correct stakeholders etc.

We do not need to sight the actual SSSP itself for this question.

General Scoring Criteria: To score well in this question you will need to provide:

- 1x completed SSSP audit.
- The audit should assess each section of the SSSP to ensure methodology and requirements are being adhered to.
- Evidence should be recent (ideally from within the past 12 months)
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

4.6.3

Do you have a process/procedure for conducting regular audits of your own Health and Safety Management System?

Please:

Attach your HSMS audit procedure or a description of your process (include how often and who conducts these audits).

Attach 1 recently completed audit.

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A health and safety management system audit (HSMS audit) is a process to periodically check your health and safety management system is effective and fit for purpose. This is not a workplace inspection that checks physical conditions, or behaviours of individuals. It is a check that an effective health and safety management system is in place with systematic hazard and risk management and supporting processes.

An HSMS audit will ideally be conducted against all aspects of your management system to ensure that all sections and intended outcomes are being met/still relevant. At a minimum, a HSMS audit should include:

- Leadership and commitment
- Hazard identification, assessment and control
- Information, training and supervision
- Incident reporting, management and investigation
- Employee participation
- Emergency planning and readiness
- Contractor/subcontractor management
- Injury Management

Note: A prequalification is not an audit. A prequalification will cover off certain aspects/components of a health and safety management system but is not considered to be a full audit. Evidence of prequalification will not be accepted for this question.

It is accepted practice to have an external audit conducted on your health and safety management system. This process should be detailed in your procedure, and we will require the completed audit itself (including outcomes) to be provided for assessment purposes.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure outlining your audit process detailing who is responsible, audit frequency, how the audit is undertaken etc.
- 1x completed health and safety management system audit.
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.
- Evidence should be no more than 18 months old.

4.7 INVOLVING WORKERS IN HEALTH & SAFETY

4.7.1

Do your workers have regular opportunities to be involved in health and safety?

Please:

Attach your procedure or a description of your process for involving workers in health and safety.

Attach 2 items of evidence of this happening in practice (e.g. copies of recent meeting minutes, diary notes where you have talked about safety, sections of meeting minutes where safety is discussed etc.)

Answer Options: YES, NO

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: All organisations must have worker engagement and participation practices, regardless of size, level of risk or the type of work carried out.

Worker participation practices are put in place so that workers can help to improve health and safety on an ongoing basis. These practices make it possible for workers to share ideas and information, raise issues, and contribute to decision-making on an ongoing basis.

Some forms of worker participation could be:

- Operations or toolbox meeting minutes where health and safety is clearly discussed.
- Health and safety meeting minutes or team briefings.
- Worker involvement in development of procedures and policies.
- Worker suggestions considered regarding health and safety initiatives.

This question is looking for your process/procedure outlining how you ensure worker participation in health and safety matters as well as evidence of participation taking place.

For smaller organisations where the only workers may be the organisation's owners, formal meetings may not take place. Health and safety should still be a discussion point but if your process is informal, please explain in a document and upload any recent health and safety discussions you may have had.

General Scoring Criteria: *To score well in this question you will need to provide:*

- A procedure or process which outlines worker participation and expectations around involvement in health and safety.
- 2x examples of worker participation in health and safety taking place.
- Evidence should be recent (ideally from within the last 6 months).
- Meeting attendees must be clearly shown/signed onto the minutes to indicate attendance.
- Outstanding issues should be assigned, actioned, and closed out where applicable.

4.7.2

Do your workers carry out shift/daily pre-start meetings (or similar)?

Please:

Attach your process or a description of how this is done.

Attach 2 items of evidence of this happening in practice (e.g. recent pre-start meeting minutes, diary notes, or records of attendance, daily JSA sign off etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. The type of meetings we are looking for here a daily pre-start meetings which are held each day (typically on a work site) before a job starts. Evidence could also be sign on to a JSA where workers have read over or acknowledged the hazards/risk of the day etc. We are not looking for general health and safety meeting minutes (requested in the question above). If you do not undertake on site work, this question may not be applicable, if so please mark N/A and explain.

Question Help: Shift or daily pre-start meetings are held at a work team level at the start of each day or shift to discuss planned operations and requirements, including those relating to health and safety. Daily pre-start meetings are not to be confused with general health and safety meetings which are usually held with all workers and at a frequency less than daily.

Where possible, we recommend submitting consecutive daily pre-start meeting minutes to show that these meetings are held regularly. For the purposes of this prequalification, we also accept JSA type documents that outline the risks, controls, health and safety information and any specific conditions on site. These types of documents must be signed onto by those undertaking the work to acknowledge their understanding and sighting of the information.

General Scoring Criteria: *To score well in this question you will need to provide:*

- 2x daily pre-start meetings (or similar) displaying health and safety discussion content and worker involved.
- Evidence should be recent (ideally from within the last 6 months).
- General health and safety meeting minutes (less frequent than shift/daily) will not be accepted as evidence.



4.8 TRAINING

4.8.1

Do you have a process/procedure that ensures the provision of any required training for workers?

This may include:

1. On the job training: e.g. SOP training, competency assessments
2. Trade certification: e.g. electrical, plumbing, carpentry, mechanics, welding, etc.
3. Licences e.g. forklift: crane, scaffolding, heavy transport, asbestos etc.
4. Specialist training: e.g. confined space entry, work at heights, permit receiving, isolations, excavation etc.
5. Health and Safety: H&S representative, supervisors, construction passports, first aid etc.

Please:

Attach your training procedure or a description of your process.

Attach your training register (or similar summary of training undertaken by workers including currency).

Note: Assessors will be looking for relevant training based on your work activities (e.g. work at heights training if you do work at height or confined space entry training if you do confined space entry etc.)

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst most organisations should have some form of health and safety training in place (even if this is first aid, fire warden training etc.) certain allowances may be made for small home-based companies or smaller offices. If so, please mark this question as N/A and explain. Note: Induction training is covered in its own question below.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: A training procedure helps to ensure workers have the skills and/or are developing skills and knowledge that relate to the management of hazards and risk in their workplace. The procedure may contain internal and or external training.

A training procedure will typically include:

- The specific types of training required i.e. role specific licenses, qualifications, first aid, in-house competency assessments etc.
- Who carries out this training (internal and/or external)
- How competency will be determined
- How training will be recorded (training register) and kept current

This question is looking for your training process/procedure and a current training register.

General Scoring Criteria: To score well in this question you will need to provide:

- A non-generic training process/procedure that relates to your organisation and work activities (i.e. not just state generally that training shall be given).
- The training procedure should outline the information in the Question Help

- A register which shows the training, qualifications, licenses etc. of each worker including the date training was provided and the expiry/refresher should there be a refresher component required.
- Competency assessments may be accepted in lieu of a training register where specific licenses/qualifications are not required.

4.8.2

Do you have a process/procedure to manage refresher training requirements? i.e. competency, licence, and certification refresher requirements to ensure currency.

Note: Assessors are looking for your process/procedure not your training register requested in the question above.

Please attach a copy of your refresher training procedure or description of the process you use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your work activities. Whilst we would expect that most forms of training would have a refresher component, either due to official certification expiry or regular internal refresher training, certain allowances may be made where the organisation clearly does not require training/associated refresher components. If so, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: The aim of a refresher training procedure is to ensure there is a process for the renewal or refreshing of training. This can include in-house training and competencies, as well as external certification or licences.

This question is looking specifically for a process/procedure. A training register will not satisfy question requirements.

A refresher training procedure should generally cover:

- How refresher training is managed (by who, how).
- Your process for undertaking refresher training (internal/external).

If you are using an automated system or external providers from reminders, please ensure your procedure explains how this works to ensure refresher components are managed effectively.

General Scoring Criteria: To score well in this question you will need to provide:

- A refresher training procedure that outlines who is responsible for managing refresher training, how this is undertaken, any internal or external requirements, refresher training frequencies for any competency and/or other general training.

4.8.3

Do you have a worker health and safety induction programme?

Please:

Attach a copy of your induction content i.e. manual or booklet, power point, detailed induction form displaying induction coverage.

Attach 2 most recently completed inductions

Note: This question refers to induction of your own workers upon employment, not contractors or clients.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your organisation's structure. If your only internal workers are both/all owners of the organisation, we would not expect those individuals to be inducted to their (your) own organisation. If this is the case, please mark this question as N/A and explain.

Please Note:

If you answered YES to the Health and Safety Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An induction programme introduces a worker to their workplace, ensuring they are aware of key elements of the health and safety management system as it applies to them including the hazards, risks and controls in their workplace.

As a minimum, induction training typically includes:

- Emergency procedures
- Incident/ Injury reporting
- Hazard management
- Employer/Employee responsibilities
- Injury management process
- Communication systems for Health and Safety
- Use and maintenance of materials and equipment including PPE

We will require evidence of completed and signed (both inductee and inductor) induction forms and the content covered in the induction e.g. worker handbook, safety manual, power point etc.

In some instances, we will accept the induction form checklist as content but for this to score highly we are looking to see a clear breakdown of what each induction point covers off (i.e., the form should be descriptive not just a tick box list of topics).

General Scoring Criteria: To score well in this question you will need to provide:

- 2x most recently completed induction forms (signed, dated by worker and employer)
- Induction content that is descriptive and covers off the minimum expectations as covered in the Question Help.

Contractors who score well, often have a quiz or questionnaire included as part of the induction process.

4.8.4

Do you provide management/supervisory skills training for your managers or supervisors?

Note: This management and supervisory training needs to focus on improving an individual's skills as a leader and manager as opposed to professional/technical/vocational skills training.

Please:

Attach a procedure or description of the training you provide to your managers or supervisors.

Attach evidence of this training having been undertaken.

We will be looking for:

1. What course/s are completed and what is covered by them.
2. What level of management the courses are directed at.
3. Identification any formal qualifications or standard the training is based on e.g. unit standard.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable to you based on your organisation's structure and size. If so, please mark this question as N/A and explain.

Question Help: Management and supervisory training focuses on improving an individual's skills as a leader/manager/supervisor. This may include courses and workshops that prepare managers to face the wide array of challenges involved in supervising people and managing systems and projects.

NOTE: This management/supervisory training needs to focus on improving an individual's skills as a leader and manager as opposed to simply professional/technical/vocational skills training.

General Scoring Criteria: To score well in this question you will need to provide:

- A process or procedure that outlines your training expectations specifically for individuals in management/supervisory roles.
- A list clearly identifying management/supervisors and the training they have completed.
- Information on what the supervisory/management course, qualification, or certificate covers.
- Evidence of completion i.e. a sample of certificates, records of learning etc.

4.9 PLANT, EQUIPMENT & VEHICLES

4.9.1

Do you have a process/procedure for the maintenance, testing and/or calibration of equipment you use?

Note: This would include items such as lifting equipment (slings, strops, lifting devices), safety equipment (travel restraint/fall arrest systems, respirators, SCBA, rescue tripods), test equipment (electrical meters, gas detectors), tag/testing of electrical leads etc.

Please:

	<p>Attach your testing and calibration procedure or description of your process.</p> <p>Attach 2 items of evidence indicating regular test/calibration in practice (i.e. photos of current test/tagging, calibration tags, service invoices etc.)</p> <p>Attach copies of your maintenance/testing/calibration registers.</p> <p>Note: Assessors will consider the activities you undertake and the equipment you are likely to use.</p> <p>Answer Options: YES, NO, N/A If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable based on your work activities or areas of work. Whilst most organisations will have some form of process i.e. tag and test as a minimum, if N/A is applicable, mark this question as N/A and explain.</p>
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Question Help: We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment that you use, to keep it in a safe working condition.

An equipment maintenance procedure will typically include the following:

- Identification of what equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (i.e. equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current test/calibration tags, service records/external testing registers etc.

A test/calibration register will show your complete inventory of equipment/items that require testing and calibration, the dates when testing was undertaken and any re-testing dates.

Note: We would expect most organisations to have a test and tag process in place for electrical items and general offices spaces (excluding small home offices etc.). We acknowledge this is not a legal requirement but is generally expected for best practice and viewed as a significant control for risk management.

General Scoring Criteria: To score well in this question you will need to provide:

- A testing and calibration procedure that covers off expectations listed in the Question Help.
- 2x pieces of evidence that demonstrates that your procedure/process is being implemented.
- A testing and calibration register showing your complete inventory with clear test and re-test dates.
- Evidence will indicate that testing/calibration dates are current.

4.9.2	<p>Do you have a process/procedure for planned preventative maintenance to keep your mobile plant (e.g. forklifts, scissor lifts, diggers etc.) and vehicles (e.g. company cars, utes, vans, trucks etc.) safe and fit for use?</p> <p>Note: This includes borrowed or hired plant and vehicles.</p>
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Please:

Attach your mobile plant/vehicle maintenance procedure or a description of your process.

Attach 2 items of evidence indicating regular maintenance in practice (i.e. pre-start checks, service records etc.)

Attach your maintenance/inspection register/s.

Note: Assessors will consider the activities you undertake, and the equipment you are likely to use.

Answer Options: YES, NO, N/A

If N/A, please explain why you have selected this (response mandatory).

This question may not be applicable if you do not have any mobile plant/equipment or company vehicles owned OR leased by your organisation. If this is the case, please mark this question as N/A and explain.

Question Help: We will require a procedure or description of the process to keep work vehicles and mobile plant (e.g. forklifts, scissor lifts) safe and fit for use.

A mobile plant maintenance procedure will typically include the following:

- Identification of what mobile plant and equipment requires maintenance, testing or certification
- What the maintenance and/or testing requirements are for the equipment (e.g. vehicle services, WOF etc)
- How often the maintenance and/or testing is required
- Who will be responsible for carrying out the maintenance and/or testing (internally and/or externally)
- How the maintenance and/or testing will be recorded (equipment registers)
- How maintenance and/or testing will be kept current

Evidence of your procedure/process being applied is required and can be demonstrated by providing photos of current WOF and Rego or service records and pre-starts etc.

A vehicle/mobile plant register is used to effectively monitor and track servicing dates and to ensure planned, preventative maintenance is undertaken in a timely manner. You may use an excel spreadsheet or an online tracking system such as EROAD.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure or process that covers off expectations listed in the Question Help.
- Inclusion of a process/consideration for hired or borrowed vehicles and mobile plant where relevant.
- 2x pieces of evidence of your procedure/process in practice i.e., service invoices, pre-start checks etc.
- Your vehicle/mobile plant register detailing servicing dates and scheduled maintenance for your fleet.

4.10 SAFETY PERFORMANCE

4.10.1

Has your organisation been prosecuted and convicted for an offence under the Health and Safety at Work (HSAW) Act 2015 in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what you were prosecuted for, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the prosecution/s.

Question Help: This is only a scoring question if you have been prosecuted. Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s.

4.10.2

Has your organisation received a Prohibition, Infringement or Improvement Notice issued under the Health and Safety at Work (HSAW) Act 2015 within the last 5 years?

Note: Any notices issued by WorkSafe, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA)?

If Yes, please:

Attach a copy of each notice and a clear outline of the corrective actions you put in place to prevent the situation/s happening again.

Question Help: This is only a scoring question if you have been received a prohibition, infringement, or improvement notice. Your score in this area will reflect what you have done to rectify the issues relating to the notice/s.

4.10.3

Has your organisation been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years?

If Yes, please:

Attach a copy of all investigation reports (or other documents outlining why you were investigated) and a clear outline of the corrective actions you put in place to control the situations and prevent them happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues relating to the investigation/s.

Question Help: This is only a scoring question if you have been investigated by an enforcement agency. Your score in this area will reflect what you have done to rectify the issues relating to the investigation.

4.10.4

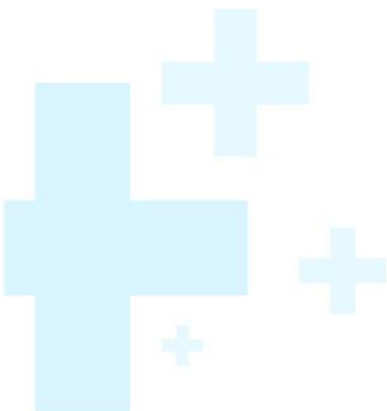
Have you or your workers been recognised by clients or other external bodies for health and safety excellence, innovation, or problem solving etc. in the last 5 years?

If Yes, please:

Attach a description of the award/recognition.

Attach evidence e.g. safety award, certificate, write up, or similar.

Question Help: This is a non-scoring question meant for information purposes only.



SECTION 5: ENVIRONMENTAL MANAGEMENT SYSTEMS & PERFORMANCE

5.1	<p>Do you have an Environmental Management Policy statement?</p> <p>Please attach your organisation's environmental policy statement.</p> <p>Answer Options: YES, NO</p> <p>Please Note: <i>If you answered YES to the Environmental Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.</i></p>
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Question Help: An Environmental Management Policy statement sets out your approach, commitment, and intentions for environmental management and should be accessible to the relevant workers, visitors, and other stakeholders. It is generally a one – two-page document and should be signed by the PCBU/top management.

General Scoring Criteria: *To score well in this question you will need to provide:*

- An environmental management policy statement with a good outline of environmental management strategies for example:

Commitment to comply with relevant legislation and good practice.

Commitment to reduce waste, recycle, enforce sustainable practices.
- An environmental management policy statement that has been signed and dated within the last 2 years.
- An environmental management policy statement that has been clearly signed by the organisation's Owner, Managing Director, CEO etc.

5.2	<p>Who is the most senior person in your organisation with overall responsibility for environmental management, and what is their role?</p> <p>(free text answer)</p>
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Question Help: This question is simply asking who (name/s) has overall responsibility for environmental management in your organisation and what their role (job title) is.

General Scoring Criteria: *To score well in this question you will need to provide:*

- An appropriate named individual and their role title that aligns with other evidence provided in assessment regarding organisational structure etc.

5.3	<p>Who provides your company with environmental advice and support e.g. internal Environment Advisor/Manager or external consultant?</p> <p>Please provide the following:</p>
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	<ol style="list-style-type: none"> 1. The name of the person (internal or external) or organisation providing environmental advice. 2. The environmental qualifications of the individual (internal or external) or of key people within the external organisation. 3. The level/amount of environmental experience (years) of the individual (internal or external) or of key people within the external organisation. <p>(free text answer)</p>
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Question Help: This question is asking you if you receive regular/ongoing (not one off) qualified environmental advice from either an internal or external environmental professional/s (individual OR organisation). If you receive advice from an organisation with multiple individuals, please provide the names, years of experience and qualifications from those individuals you have dealt with.

Weighting is placed on the level of qualification, but absence of qualification with industry experience (number of years) may be considered for a lower score.

Note: We undertake due diligence checks to ensure any named individual/s hold the indicated qualification/s. We have an obligation to report suspected instances of false qualification.

General Scoring Criteria: To score well in this question you will need to provide:

- The name/s of an individual/s and their specific environmental qualifications (scoring will decrease as an individual/s hold a lesser level environmental qualification – in line with New Zealand Qualifications Framework. To score a 4 requires a level 7 qualification).
- The number of years of specific environmental related work experience the individual/s have.

5.5	<p>Do you undertake formal on-site environmental inspections?</p> <p>Please attach 3 recently completed environmental inspections.</p> <p>Answer Options: YES, NO, N/A</p> <p>If N/A, please explain why you have selected this (response mandatory).</p> <p>This question may not be applicable to your organisation if you are not undertaking on-site work. We may still request evidence from your own workplace depending on your work activities but if you think that N/A is appropriate, please mark this question as N/A and explain.</p>
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Question Help: An environmental inspection is a process focused on checking whether the physical conditions (of a site or other environment), plant or equipment specifications, are meeting agreed environmental expectations. Environmental inspections help to preserve the environment by ensuring appropriate measures are in place to identify, manage, and mitigate potential environmental impacts as a result of work activities.

General Scoring Criteria: To score well in this question you will need to provide:

- 3x completed environmental inspections.
- Inspection items should be relevant to your work areas/activities.
- The inspections should be recent (ideally from within the last 12 months).

- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.

5.6

Do you have a procedure/process for conducting regular audits of your Environmental Management system?

Please:

Attach your environmental audit procedure or description of your process.

Attach 1 recently completed environmental management systems audit.

Answer Options: YES, NO

Please Note:

If you answered YES to the Environmental Management System audit certification question, this question will be hidden. If incorrect evidence of certification is provided we will need to send your assessment back to you and you will be required to provide the above evidence.

Question Help: An Environmental Management Systems audit (EMS audit) is a process to periodically check your environmental management system is effective and fit for purpose.

An EMS audit will ideally be conducted against all aspects of your environmental management system to ensure that all sections and intended outcomes are being met/still relevant.

It is accepted practice to have an external audit conducted on your environmental management system. This process should be detailed in your procedure, and we will require the completed audit itself (including outcomes) to be provided for assessment purposes.

General Scoring Criteria: To score well in this question you will need to provide:

- A procedure outlining your audit process detailing who is responsible, audit frequency, how the audit is undertaken etc.
- 1x completed environmental management system audit.
- Improvement opportunities/corrective actions should be identified, assigned, and closed out where relevant.
- Evidence should be no more than 18 months old.

5.7

Has your organisation ever been prosecuted and convicted for an offence, received infringement notices, or been investigated by an enforcement agency under the Resource Management Act or other environmental regulation or bylaw in the last 5 years?

Note: Assessors will be undertaking a court base search of your company.

If Yes, please:

Attach an explanation of what the issue was, and a clear outline of the corrective actions you put in place to prevent the situation happening again.

Note: Your score in this area will be a reflection of what you have done to rectify the issues

Question Help: This is only a scoring question if you have been prosecuted or convicted for an environmental offence. Your score in this area will reflect what you have done to rectify the issues relating to the offence.

5.8

Have you or your staff been recognised by clients or other external bodies for environmental management excellence, innovation, or problem solving etc. in the last 5 years?

If Yes, please:

Attach a description of the recognition.

Attach evidence e.g. environmental award, certificate, article etc.

Question Help: This is a non-scoring question meant for information purposes only.

SECTION 6: INSURANCE

6.1 INSURANCE

Question Help: *Insurances are non-scoring.*

For your certificate of currency to be accepted it must:

- Display your company name
- Be current at the time of assessment
- Display the amount of coverage (usually whole rounded numbers i.e. \$10,000,000)
- Be signed and dated by your insurance provider (some exceptions if evidence is non-editable and printed on recognised providers header) At your request, your insurance provider will be able to supply you with your appropriate certificate of currency.

PLEASE NOTE: We cannot accept payment/remittent invoices, we need to see the current insurance certificate. If your insurance is paid for monthly, we will accept the certificate if it is valid for the month your prequalification was submitted and make note to clients to check for active insurance upon engagement.

Do you hold motor vehicle insurance (third party liability) for airside activities (airport work only)?

If Yes, please:

Enter the dollar amount of cover you have for your airside motor vehicle insurance.

Enter the expiry date of your airside motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold motor vehicle (third party liability) insurance?

If Yes, please:

Enter the dollar amount of cover you have for your motor vehicle third party liability insurance.

Enter the expiry date of your motor vehicle insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold general Public or Products Liability Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your general Public or Products Liability insurance.

Enter the expiry date of your general Public or Products Liability insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

Do you hold Professional Indemnity Insurance?

If Yes, please:

Enter the dollar amount of cover you have for your Professional Indemnity insurance.

Enter the expiry date of your Professional Indemnity insurance.

Attach a copy of the certificate of currency displaying the type of insurance, coverage amount, and insured period. You may need to attach the insurance policy schedule to supplement your certificate of currency if the amount of coverage is not indicated on the certificate.

