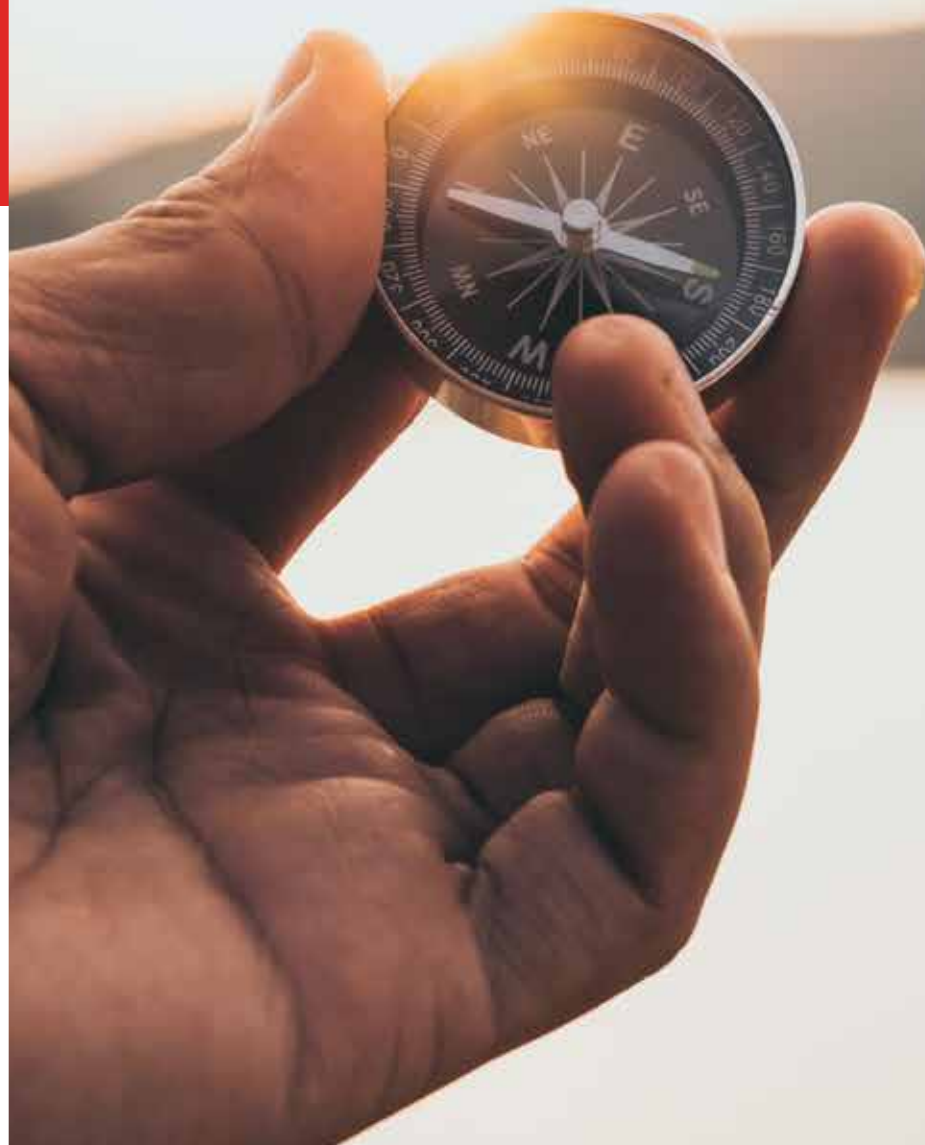


**+IMPAC**  
**PREQUAL**

Identifying Safe Contractors



HELP GUIDE FOR  
**Contractors**



## **Please Note:**

This help guide is solely for use as an aid to assist you in completing your Prequal assessment. This guide is **NOT** intended for use in developing a Health and Safety Management System

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# + Using this Guide

This guide is designed to support your organisation to get the most out of the PREQUAL assessment process. It is divided into four sections. The first two sections may have already been covered if you attended the PREQUAL roadshow.

**Section One** introduces PREQUAL and the overarching purpose and benefits of PREQUAL assessment.

**Section Two** provides guidance on achieving the best results and getting the most value out of the PREQUAL process.

**Section Three** outlines the requirements of each question to ensure you know what is required as evidence. We recommend reading through this section to understand the assessment requirements. Questions are asked under the following headings:

- + Health and Safety Management Accreditation
- + Management, Supervision and Business Continuity (Cat 3&4 only)
- + Contractors and Subcontractor Management (Cat 3&4 only)
- + Health & Safety Management and Commitment
- + Safe Work Procedures and Practices (Industrial activities only)
- + Hazard Management
- + Incident Reporting and Investigation
- + Audit and Inspection
- + Involving Employees
- + Training
- + Plant, Equipment and Vehicles
- + Safety and Environmental Performance
- + Health and Safety Recognition
- + Environmental Management Systems and Performance (Cat 4 only)
- + Insurance
- + Referees

Depending on the size and nature of your business and work activities, some questions may not be applicable to your organisation. Additionally, if you hold one of the accreditations highlighted in the first section, some questions will be removed from your assessment. PREQUAL recommend taking the time to read this guide before doing the assessment. It is important that you gather the required evidence before trying to complete the assessment.

**Section Four** of this guide provides information to help you understand more about your workplace health and safety obligations and where to seek advice and guidance.

We hope you get the most out of the PREQUAL process and we invite you to call or email our team if you need any assistance. While we cannot provide answers to the questions, we can ensure you are on the right track.

## **+ Section One:**

# **Welcome to PREQUAL**

For many businesses one of their biggest areas of risk is the use of contractors and managing these contractors effectively is crucial.

PREQUAL is a client led prequalification service, applied consistently throughout New Zealand and has a substantial user base of key clients and contractors.

PREQUAL is not a “one size fits all” process and the questionnaires have been developed for contractors of different sizes and areas of activity. Questions are based on good practice and often reflect regulatory requirements.

PREQUAL is not a pass or fail system or a system audit. It provides clients with information so that they can work with you to reduce risk.

## **Benefits for Contractors**

- + PREQUAL will provide an independent, professional assessment of your safety capability, commitment and competence allowing you to focus your resources where you can gain the most benefit.**
- + PREQUAL provides an opportunity to continually review your systems and identify areas for improvement. Contractors that periodically complete PREQUAL see a continual improvement in their Health and Safety systems.**
- + Significant savings in time and resource are one of the benefits to prequalifying with PREQUAL, as the one prequalification is accepted by all our Clients.**
- + You can use our logo on your documentation and website.**
- + You can be confident in our processes because our staff includes some of the best-qualified and most experienced health and safety professionals in New Zealand.**

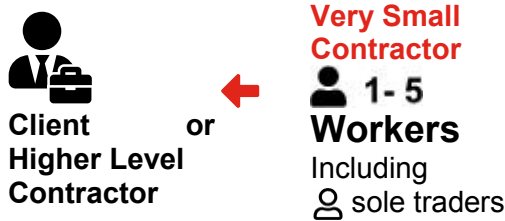
## PREQUAL Categories

Prequalification questionnaires are customised to reflect the size and complexity of the contractor, so it is vital to ensure you are in the correct Category.

The categories, aside from that of a Sole trader, are outlined here and on the following page.

### Category 1

A very small contractor from 1-5 workers may engage sole traders but does not engage any other subcontractor organisations.



### Category 2

A small contractor from 6-15 workers may engage sole traders but does not engage any other subcontractor organisations.

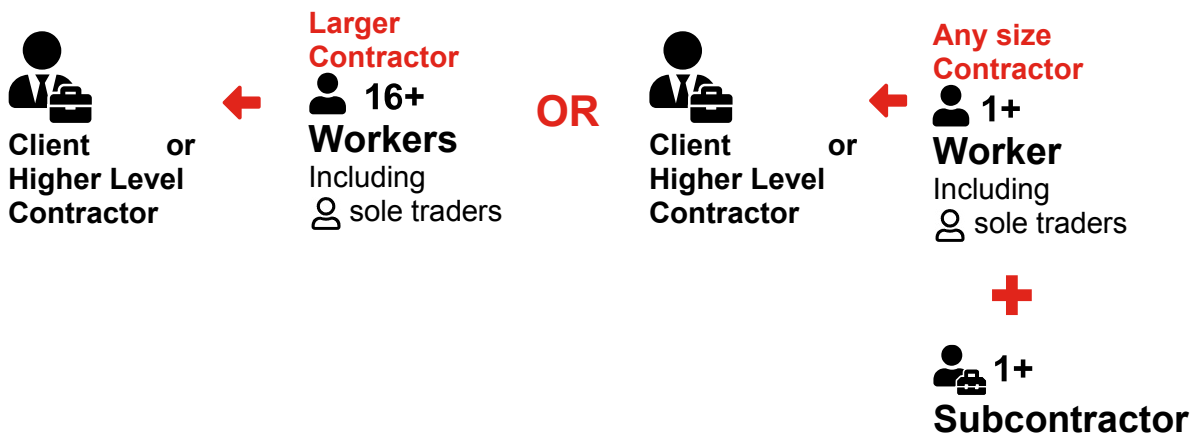


### Category 3

There are two options to be in this category:

1. A larger contractor with 16+ workers.
2. Any size contractor but using one or more subcontractor organisations to help you carry out your work.

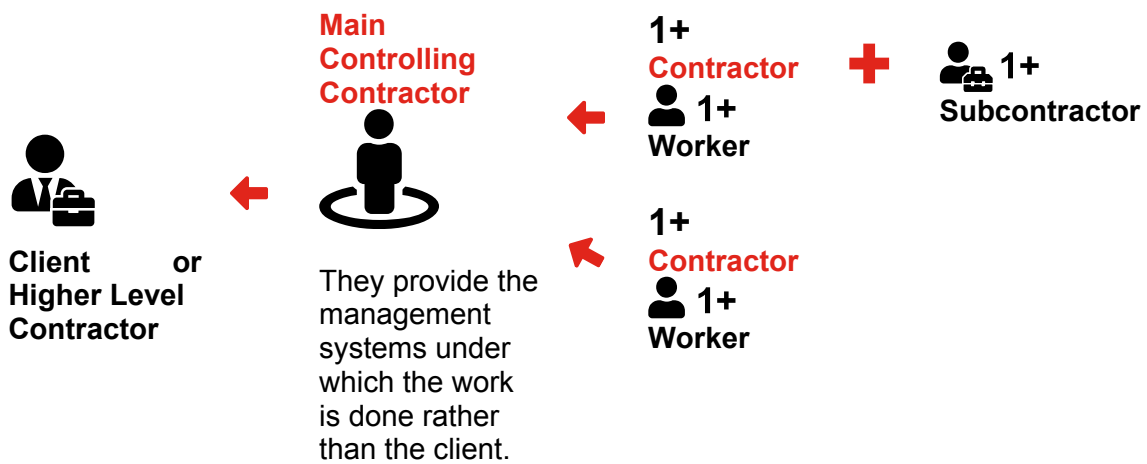
Please note: For the purposes of PREQUAL the term 'subcontractor' does not include using sole traders or contract employees.



## Category 4

A Category 4 Contractor in PREQUAL usually:

- + Is employed directly by a client to control/manage entire job or project from beginning to completion.
- + Provides the health & safety management systems and process to be used for the work.
- + Sets the reporting requirements for contractors and subcontractors and reports back to client.



If in doubt whether you are a main controlling contractor, please call PREQUAL on **0800 773 782**.

## Stages of the PREQUAL Process

There are 4 stages of the assessment process between the contractor adding information and PREQUAL assessing and reporting on evidence provided, these are outlined below:

**1**

### Register

Go to [www.PREQUAL.co.nz](http://www.PREQUAL.co.nz) select Sole Trader or Company

Please note: Sole Trader refers to any sole proprietor business including limited liability sole traders.

Answer the registration questions which will allow the system to place you into the correct category.

**2**

### Complete Questionnaire

After paying your application fee, complete all the questions asked. Submit your application for initial assessment.

**3**

### Initial Assessment

Once submitted, a PREQUAL Assessor will complete an initial assessment of your evidence. Any questions requiring further clarification or evidence will be returned to you for an opportunity to submit further evidence.

**4**

### Resubmission

Add any further information requested by your assessor. When complete, resubmit your application for final assessment.

**5**

### Final Assessment

Once re-submitted, your PREQUAL Assessor will complete the final assessment and write your Prequalification Report. This report is what your Clients will have access to upon completion of the process.



## + Section 2:

# Tips to do well in PREQUAL

- + Read through the assessment questions carefully. If needed, contact PREQUAL and a copy of the assessment questions can be emailed to you.
- + We recommend you ask others in your organisation, if needed, for required evidence. Discuss with your team and ensure you are obtaining all the Health and Safety information you need.
- + Make sure the key contact completing your questionnaire understands your business and is engaged in the process so that you reach the best outcome for your assessment.

## Answering the Questions

Read the question requirements carefully. If needed, also refer to the information for each question in the following pages of this guide.

As you answer questions and upload evidence, a green tick appears on the left-hand navigation panel. There is no need to 'save' information as it will be autosaved. The questions can be answered in any order and you can go in and out of the assessment as many times as you like.

For all questions you will have the option of answering Yes, No or Not Applicable (NA). If answering Yes, the system will give you further information on the evidence required.

If answering No, you may not be given the opportunity to change your answer or resubmit evidence. This may result in a score of zero.

If you answer Not Applicable (NA) to a question, you must explain why the question does not apply to you in the text box provided. If your reasoning is accepted, the question will be removed from your assessment without penalty. If your assessor does not agree with your reasoning, or requires further information, you will be given a resubmission opportunity.

There are no limits in place for the number of files you can upload as evidence, however, between 1 to 5 documents should be adequate for each question.

Please note: There is a 20mb limit size for each file uploaded.

If evidence is part of a large document, upload only the relevant section as Assessors **will not** search for relevant material in large documents.

Keep the evidence targeted to the question.

## Getting the Most out of the Resubmission Process

After an initial assessment, the assessor will make notes on any questions where the answer was not clear or further evidence is requested. Your assessment will then be returned to you for the opportunity to clarify or add further evidence to these questions.

There is a period of **7 working days** allowed for your resubmission. While not compulsory, it allows you to get the best outcome from the PREQUAL process.

When reviewing your resubmission opportunities, read the initial question carefully and recheck what you have submitted. If you have no further evidence or cannot add to what you have already provided, no further action is required. However, if you see you can clarify or add further evidence, do so. This may improve your final score.

Please note: The orange *i* will remain beside the resubmitted questions even after you submit further evidence.

If you have any questions regarding the Assessors feedback, contact PREQUAL via email at [info@PREQUAL.co.nz](mailto:info@PREQUAL.co.nz) or on 0800 773 782.

# + Section 3:

# Questions

## Health and Safety Management Accreditation

*Please note: If your company does not hold health and safety accreditation, you will not lose marks.*

If your company holds a PREQUAL recognised health and safety accreditation, you will not be required to provide evidence for some of the questions in the assessment.

These questions will be automatically removed when you answer yes to this question, however you still need to provide evidence of your health and safety accreditation in the form of a certificate.

Accepted health and safety accreditation includes:

- + ACC Workplace Safety Management Practices (WSMP)
- + Accredited Employer Partnership Programme
- + AS/NZS 4801
- + OHSAS 18001
- + ISO 45001

*(Please note – WSMP accreditation will no longer be valid after 28 February 2019)*

Please note: ACC Workplace Discount and Safeplus are not considered to meet the standard of health and safety accreditation required for PREQUAL and will therefore NOT be accepted.

## Questions for Category 3 and 4 only



Category 1 & 2 contractors please start on page 14

## Management, Supervision and Business Continuity

### Organisational Chart

An organisation chart is a diagram of the structure of your organisation, showing the key relationships of the positions or jobs within it. Please include the names of the people within each position, as this will assist your Assessor to understand your organisation.

### Business Continuity Plan

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: This is not the same document as an emergency response scheme or evacuation plan.

## Contractors and SubContractors

### Contractor Management Procedure

A contractor management procedure is your overarching procedure or guideline for how you will manage your contractors and includes:

1. How you prequalify your contractors.
2. Contractor selection and minimum requirements setting.
3. Pre-commencement including induction and safety documentation (e.g. safety plans) sign off.
4. How you monitor and audit/review your contractors.

We will then ask more specific questions relating to each of the areas throughout this section.

### Contractor Prequalification

A key step in contractor management is to understand the health and safety competency of your contractors and ensure they have the required systems and capability to keep people safe.

A prequalification assessment checks the following areas of your contractors:

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

### Contractor Minimum Health and Safety Requirements

Minimum Standards are an agreement between you and your contractors, outlining your expectations and the minimum standards you will accept from contractors. This should include adherence to legislative requirements, your health and safety systems and any other rules you have

## Contractor Work Method Statements

*(Some Category 4's Only)*

Work method statements (WMS's) are a written description of 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. Most WMS's would 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

## Contractor Safety Key Performance Indicator's (KPI's)

Key Performance Indicators (KPI's) 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.

Examples include:

### Lead (Positive) Indicators

- + Safety management activity completed
- + Audits and inspections completed
- + Training completed
- + Corrective action completion rates
- + Behaviour/attitude surveys completed

### Lag (Negative) Indicators

- + Injury frequency and severity rates
- + Lost workdays
- + Property damage incidents
- + Costs

## Contractor Induction

A contractor induction is safety training focused on the health and safety arrangements in place for the contracted works and the area in which it is taking place.

Please note: The question may ask for both induction content and completed inductions.

Content is the material and information you take your contractor through, often a hand book.

A completed induction is usually the signed checklist to indicate the contractor has understood the content.

## Contractor Pre-start Meetings

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 prestart meetings or their own meetings will be accepted, provided there is clear evidence that your contractors (not just your staff) have attended these meetings.

Where possible, we recommend submitting consecutive minutes to show that these meetings are held regularly.

## Project Control Meetings

*(Some Category 4's Only)*

Project 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.

## Contractor Monitoring and Inspection

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 does not refer to a behavioural observation audit on its own.

If this is undertaken as part of a general site inspection, please ensure your contractors that are included in the inspection are identified.

## Subcontractor Monitoring/Inspection

*(Category 4 Only)*

A procedure for ensuring your contractors conduct regular health and safety inspections of their subcontractors 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 does not refer to a behavioural observation audit on its own.

If this is undertaken as part of a general site inspection, please ensure your contractors identify their contractors that are included in the inspection.

## Contractor Audits

Contractor auditing is a process whereby you check contractors are adhering to the required expectations and agreed health and safety arrangements (e.g. what has been agreed to in a Site-Specific Safety Plan, attendance to agreed meetings, reporting of incidents and competencies of contractors at site).

## Subcontractor Audits

*(Category 4 Only)*

Subcontractor auditing is a procedure for ensuring your contractors conduct regular audits of their subcontractors to check they are adhering to the required expectations and agreed health and safety arrangements (e.g. what has been agreed to in a Site-Specific Safety Plan, attendance to agreed meetings, reporting of incidents and competencies of contractors onsite).



## Health & Safety Management and Commitment



Category 1 & 2 contractors please start here

### Health and Safety Policy

Your health and safety policy is the key statement that sets out your approach and intentions to workplace health and safety and should be accessible to the relevant stakeholders.

It should be signed by the owner, directors, CEO or equivalent, demonstrating commitment to improving health and safety performance.

They usually include:

- + 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 review at least every two years and updated as required.

### Health and Safety Accountabilities/Responsibilities in Management Roles

There are defined duties outlined in relation to specific roles in your organisation. Examples can be in either job descriptions or in company documentation. They describe who is responsible for various health and safety activities (e.g. planning, management, hazard and risk management).

There is an expectation that an organisation is also aware of who officers of the PCBU are in relation to NZ legislation and the duties they have.

### Health and Safety Accountability/Responsibility Review

*(Category 4 Only)*

Health and safety responsibility review is a process where performance against these responsibilities is reviewed and is often included in broader management performance reviews. Please ensure any personal identifiers are removed from evidence submitted.

### Dealing with Issues

*(Category 1 Only)*

This is a description of how you systematically manage health and safety issues as they arise. For example, how they are recorded, monitored and how follow up of actions take place.

For this part the of assessment, we need to see an actual description of the issue and a clear description of what was done to resolve it.

## Monitoring Health and Safety

*(Category 2 Only)*

This is a description of how you systematically manage and monitor health and safety issues.

For this part of the assessment this can be a description of how this is done, or consecutive meeting minutes to demonstrate frequency and evidence of health and safety monitoring.

## Health and Safety Advice

This is to check the level of professional occupational health and safety systems support and advice your organisation has access to and can be internal and/or external advisors.

Please include in your answer:

- + The name of the person and organisation (if applicable)
- + The person/s specific health and safety qualifications
- + The person/s specific health and safety experience
- + What you use them for and how often or what amount of their time is directed to this if using an internal resource

## Health and Safety as a fixed Agenda Item

*(Category 3 and 4 Only)*

Health and safety as a regular part of senior management meetings shows that it is integrated into operational meetings at a senior level on an ongoing basis and that health and safety is being prioritised.

We ask for two sets of management/operations meeting minutes, preferably consecutive and within a 4 month period.

Please note: Agendas will **not** be accepted as evidence and dedicated health and safety meetings which management attend are not acceptable evidence for this question.

## Health and Safety Key Performance Indicators (KPI's)

*(Category 3 and 4 Only)*

Key Performance Indicators (KPI's) 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.

Examples include:

### Lead (Positive) Indicators

- + Safety management activity completed
- + Audits and inspections completed
- + Training completed
- + Corrective action completion rates
- + Behaviour/attitude surveys completed

### Lag (Negative) Indicators

- + Injury frequency and severity rates
- + Lost workdays
- + Property damage incidents
- + Costs

Evidence may include reports, meeting minutes, or statistical data.

Please include in your answer what measures are used and how often they are monitored by management.

## Safe Work Procedures and Practices

*(Relevant Work Activities Only)*

### Work Instructions

Work instructions 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.

### Work Instruction Review

Work instruction review is how and when you review work instructions given in the previous question. These may include scheduled and /or reactive reviews. Both a description or procedure and evidence of a recent review is required (e.g. review records, comparison of original and updated instructions).

### Site Specific Safety Plans (SSSP's)

A Site Specific Safety Plan (SSSP) is a plan 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 minimum requirements and processes
- + Management of contractors/subcontractors
- + Training and competency
- + Incident reporting and investigation
- + Emergency response
- + Audit and inspection

For the purposes of assessment, a signed off / working SSSP is required.

## Hazard Management

### Hazard and Risk Management

A hazard and risk management procedure or process will describe how an organisation systematically identifies hazards, assess 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.

When assessing, we consider good practice and regulatory requirement for the control of the hazards and risks you have identified in your hazard/risk register.

The evidence required includes:

- + Hazard and risk management procedure
- + Hazard/risk register as an overview document recording risk associated with all aspects of your organisation
- + Evidence of your hazard management cycle process (e.g. completed hazard identification report forms or similar)

### Permit to Work (PTW)

*(Some Category 4 Only)*

A permit to work system (PTW) is a formal written system to control hazardous works, allowing work to start only after safe procedures have been defined.

A PTW authorises certain people to carry out specific work within a specified time frame, setting out the precautions required to complete the work safely, based on a risk assessment.

Examples of work that may require a permit to work are:

- + Hot works
- + Confined space entry
- + Work at heights
- + Electrical isolation

### Job Safety Analysis (JSA)

A JSA will identify the steps of a task or job and the hazards and risks associated with each step. It will systematically identify the controls and responsibilities in place to manage those risks. A well completed JSA will clearly show the task environment situations and that it has been reviewed by those undertaking the work on site.

For the purposes of assessment, a JSA signed off by all parties involved is required.

## Energy Isolation

An energy isolation (also known as lockout-tagout) procedure or process 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.

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 how to:

- + Identify machinery /equipment requiring isolation
- + How to isolate energy sources and ensure a zero-energy state
- + The placement of locks and tags
- + Removal of isolation / lockout-tagout
- + Safe reenergisation

## General Emergency Response

An emergency procedure will describe what to do in response to a range of standard emergency events.

This includes:

- + Fire
- + A medical emergency
- + Natural disasters.

## Work Specific Emergency Response

A work specific emergency response plan will describe what to do in response to a specific high risk work activity emergency event.

The evidence required is the actual steps to take in the event of a potential emergency situation and is not to be confused with a general work procedure.

These include, but are not limited to:

- + Confined space rescue
- + Fall from heights rescue
- + Hazardous substance spill response
- + Lone worker rescue

## Hazardous Substances

### *(Relevant Work Activities Only)*

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

The procedure should typically include:

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

Evidence of two Safety Data Sheets is also required and these should be less than 5 years old. These are not to be general product information sheets but are required to contain for example information on Explosiveness/ Flammability, Toxicity, First Aid, Firefighting and Disposal, and any specific PPE requirements.

## Health Monitoring

### *(Relevant Work Activities Only)*

Health monitoring refers to the testing of individuals to identify any changes in their health status because of 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 typically include:

- + The identification of health risks
- + The type of monitoring or testing undertaken
- + The processes for consent and recordkeeping
- + The response to evidence of minimised health

Please note: For confidentiality purposes, we do not require copies of monitoring records.

## Personal Protective Equipment (PPE)

### *(Relevant Work Activities Only)*

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.

Please ensure you include in description or attached procedure:

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

## Incident Reporting and Investigation

### Incident Reporting and Investigation

*Please note: For Category 3 and 4 this question is split into two parts.*

An incident reporting and investigation procedure ensures that all incidents that do or have the potential to cause harm, are reported and investigated to facilitate the opportunity to review the situation and revise 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

We will also require:

- + A copy of your incident register
- + Evidence of completed incident report forms
- + For categories 2, 3 and 4, evidence of completed incident investigations

### Incident Investigators

*(Category 3 and 4 Only)*

Trained investigators are a valuable asset in any organisation seeking to maximise learning from adverse events, avoiding reoccurrence and improving future resilience.

Accepted formal incident investigation training qualifications include NZQA Unit Standard 17601, ICAM, Tripod Beta and TapRoot.

Please ensure information is provided to show your investigators qualifications.



## Audit and Inspection

### Workplace Health and Safety Inspections

Workplace inspections help prevent injuries and illnesses through examination of the workplace, formally identifying and recording hazards and 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.

For categories 1 and 2 we will require a description of how and when you do this and copies of recent completed inspections.

For categories 3 and 4 we will only require copies of recently completed inspections.

### Specific Safety Plan (SSSP) Audits

*(Category 3 and 4 Only)*

A Site (or Service) Specific Safety Plan (SSSP) audit is completed to ensure the agreed systems, processes and activities outlined in the SSSP are being met.

The audit should typically include a review of:

- + Health and safety responsibilities and authorities are understood and acted on
- + Worker induction and competencies processes
- + JSA's and permits are used correctly, adapted and signed off as required
- + Accident and incident reporting and investigation processes
- + Holding and attendance at health and safety and prestart meetings
- + Equipment and tools monitoring processes

Please note: This is not an initial SSSP review but a periodic audit of an active SSSP.

## Health and Safety System Audits

*(Category 2, 3 and 4 Only)*

A health and safety system 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.

A health and safety system audit should typically 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

## Involving Employees

### Involvement in Health and Safety

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

Evidence of worker participation may be in the form of:

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

### Prestart Meetings

Shift or daily prestart 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.

Where possible, we recommend submitting consecutive minutes to show that these meetings are held regularly.

## Training

### Training Procedure

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
- + Who can carry out training (internal and external)
- + How competency will be determined
- + How training will be recorded (training register) and kept current

We will also require a training register to show us training that has been carried out.

### Refresher Training

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.

### Induction Training

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.

Aspects of induction training typically include:

- + 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 induction forms and, if you have it, the content covered in the induction (e.g. staff handbook, safety manual or other referenced documentation).

## Management and Supervisory Skills Training

*(Category 4 Only)*

Management and supervisory training focuses on improving an individual's skills as a leader and manager.

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.

## Plant, Equipment and Vehicles

### Equipment maintenance, testing and/or calibration

We will require a procedure or description of the process for the maintenance, testing and/or calibration of equipment 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 (equipment registers)
- + How maintenance and/or testing will be kept current

Please note:

Category 1 and 2 to provide evidence of application including maintenance schedules and certificates, test tags.

Category 3 and 4 are also required to provide Equipment Registers as evidence.

### Mobile Plant / Vehicle Maintenance

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

Please note:

Category 1 and 2 to provide evidence of application including maintenance schedules and certificates.

Category 3 and 4 to supply maintenance/inspection registers (or similar).

## Safety and Environmental Performance

This section relates to any dealings you may have had with regulatory bodies, for example Worksafe, Environmental Protection Authority, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA). We ask that you declare any dealings you have had. We will also be undertaking a court base search of your company to verify your answers.

### Health and Safety Prosecution/Conviction

If you answer 'Yes' to your organisation or staff (to include current and previous) having been prosecuted and convicted for an offence under the Health and Safety in Employment Act 1992 or the Health and Safety at Work Act 2015 in the last 5 years you will need to attach:

1. An explanation of what you were prosecuted for.
2. A clear outline of the corrective actions in place to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the prosecution/s rather than the prosecution/s itself.

### Prohibition, Infringement or Improvement Notices

If you answer 'Yes' to your organisation receiving a Prohibition, Infringement or Improvement Notice issued under the Health and Safety in Employment Act 1992 within the last 5 years issued by WorkSafe, Environmental Protection Authority, MBIE, Maritime NZ (MNZ) or Civil Aviation Authority (CAA) you will need to attach:

1. A copy of each Notice.
2. A clear outline of the corrective actions you put in place for each notice to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the Notice/s rather than the Notice/s themselves. This includes Enforceable Undertakings issued by Worksafe.

### Health and Safety Investigation

If you answer 'Yes' to your organisation having been investigated by a health and safety enforcement agency (WorkSafe, MBIE, MNZ, or CAA) regarding any accident within the last 5 years you will need to attach:

1. A copy of investigation reports or other documents outlining why you were investigated.
2. A clear outline of the corrective actions you put in place to prevent reoccurrence.

Your score in this area will reflect what you have done to rectify the issues relating to the Investigation/s rather than the investigation/s themselves.

## Environmental Enforcement Action

*(For Category 4, this will be part of the Environment Management section)*

If you answer 'Yes' to your organisation or staff (current and previous) having 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 you will need to attach:

1. An explanation of what the issue was.
2. A clear outline of the corrective actions you put in place to prevent the situation happening again.

Your score in this area will reflect what you have done to rectify the issues rather than what the issue was.

## Health and Safety Recognition

We also want to know about any of your health and safety achievements that have been recognised by Clients or other external bodies as showing health and safety excellence, innovation, or problem solving over the last two years.

If you have been formally recognised for health and safety excellence, please attach:

1. A description of the award/recognition.
2. Evidence of the award (e.g. safety award, certificate, write up, or similar).

Please note: This needs to be recognition of a significant Health and Safety initiative undertaken by your organisation or your workers.



## Environmental Management Systems and Performance

*(Category 4 only)*

### Environmental Management Policy

Your environmental policy is the key statement that sets out your approach and intentions to its overall environmental performance and provides a framework for action and the setting of environmental objectives and targets.

It should be signed by the owner, directors, CEO or equivalent, demonstrating commitment to improving environmental performance.

### Environmental Responsibility

We are looking for the most senior person in your organisation with overall responsibility for environmental management.

Please include in your answer:

- + The name/s of the most senior person/s in your organisation with overall environmental management responsibility.
- + The person/s role/s within the organisation.

### Environmental Advice

This is to check the level of environmental systems support and advice your organisation has access to and can be internal and/or external advisors.

Please include in your answer:

- + The name of the person and organisation (if applicable)
- + The person/s specific environmental qualifications
- + The person/s specific environmental experience

### Environmental Accreditation

If your organisation is currently accredited to an environmental standard (e.g. ISO 14001), please attach a copy of your current accreditation certificate.

### Environmental Inspections

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 System Audits

An environmental system audit is a process to periodically check your environmental management system is effective and fit for purpose.

An environmental audit is not an environmental inspection that checks physical conditions for a site or other environment.

## Environmental Recognition

We also want to know about any of your environmental achievements that have been recognised by Clients or other external bodies as showing environmental excellence, innovation, or problem solving over the last two years.

If you have been formally recognised for environmental excellence, please attach:

1. A description of the award/recognition.
2. Evidence of the award (e.g. environmental award, certificate, article or similar).

## Insurance

For all evidence of insurances please ensure the following are listed on your certificate of currency:

- + The name of the insured
- + The type of insurance cover held
- + The dates of your insurance coverage
- + The dollar value of your insurance cover held

Please note: We cannot accept notices of renewals, invoices or policy schedules without these details.

**For entering amounts please do not use words, commas or \$ signs  
e.g. enter 200000 for 2 million**

**For date use DD/MM/YYYY format  
e.g. 03/08/2019**

### Motor Vehicle Third Party Liability for Airside Activities

Motor Vehicle Third Party Liability for Airside Activities covers legal liability for death/disability of third-party loss or damage to the third-party property when working airside at an airport or similar. Many motor vehicle insurances will have this automatically, please check with your insurer if uncertain.

### Motor Vehicle Third Party Liability

Third party motor vehicle insurance covers the legal liability for death/disability of third-party loss or damage to the third-party property. It is part of all full cover policies and is usually in the range of 10 to 20 million dollars. It is often referred to as 'Section 2 Liability'.

### General Public or Products Liability Insurance

Public liability insurance covers a business if someone is injured in some way by the business, or if it damages third party property when carrying out work/conducting business. It protects businesses against the financial risk of being found liable for personal injury, property damage and economic loss. It can also be known as General, Broadform or Purple Insurance.

Product liability insurance covers damage or injury caused to another business or person by the failure of a business's product or the product they are selling.

## Professional Indemnity Insurance

Professional indemnity insurance protects a business against claims for alleged negligence or breach of duty arising from an act, error or omission in the performance of professional services or advice. This type of insurance is usually held by organisations providing advice or consultancy services.

## Referees

Please provide 3 referees or references willing to be contacted to endorse your organisation. These need to be those who know your business, or who have worked with you and can testify to your health and safety capability.

These can be clients, past clients, other organisations you may have worked alongside or professional services that provide assistance e.g. Lawyer or Accountants.

Referees will not be contacted by PREQUAL but may be contacted by representatives of Clients you have asked to prequalify for or have agreed that your information be made available.

Please ensure you provide for each referee:

- + Name
- + Organisation
- + Email address
- + Phone Number

## **+ Section 4:**

# **Support and Resources**

During or prior to the assessment if you need any guidance or clarification you can call PREQUAL on 0800 773 782 or email [info@prequal.co.nz](mailto:info@prequal.co.nz). We will endeavour to support you in the process to achieve the best outcome for your organisation while maintaining the interests of your potential or existing clients.

If the PREQUAL process results in you wanting to seek more guidance on health and safety in your workplace, we recommend the following resources:

### **WorkSafe New Zealand**

Worksafe is the regulator of workplace Health and Safety and have tools and resources often developed in conjunction with industry experts to help organisations manage risk.

These include:

Approved Codes of Practice (Supports the law and may be used in legal proceedings).

Good/Best Practice Guidelines, factsheets and bulletins (not legally binding but supports good practice).

### **Trade and Industry Associations**

Trade and Industry Associations relevant to your operations may have industry specialist health and safety guidance.

### **Accident Compensation Corporation**

Accident Compensation Corporation (ACC) have resources on their website for workplace health safety and prevention of injury. These include Industry-specific health and safety guides as well as guidance on injury management and preventing pain discomfort and injury.

### **Standards New Zealand**

A division of MBIE specialising in managing the development of standards and publication of New Zealand, joint Australia-New Zealand, and international standards.

### **Ministry of Business, Innovation and Employment**

MBIE has tools to understand Health and Safety compliance requirements for businesses in New Zealand.

## Health and Safety Association of New Zealand

The Health and Safety Association of New Zealand (HASANZ) provides quality advice available for businesses. Their website has a register of qualified experienced health and safety professionals.

## Business Leaders' Health and Safety Forum

A forum working to improve health and safety leadership in workplaces.

## New Zealand Legislation

This site contains the statutes and supporting regulations for workplace Health and Safety in New Zealand. These include:

- + The Health and Safety at Work Act 2015
- + Hazardous Substances and New Organisms Act 1996 (HSNO)
- + Building Act 2004 1991
- + Electricity Act 1992
- + Resource Management Act 1991
- + Smoke-free Environments Act 1990
- + Privacy Act 1993
- + The Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- + Health and Safety at Work (Worker Engagement, Participation and Representation) Regulations 2016
- + Health and Safety in Employment Regulations 1995
- + Health and Safety in Employment (Pressure Equipment, Cranes, and Passenger Ropeways) Regulations 1999
- + Health and Safety at Work (Asbestos) Regulations 2016
- + Fire and Safety and Evacuation of Building Regulations 2006
- + Hazardous Substances and New Organisms (Personnel Qualifications) Regulations 2001



[www.IMPAC.co.nz](http://www.IMPAC.co.nz)



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