Joint Accreditation System of Australia and New Zealand

New Zealand Adventure Activities Certification Scheme

Requirements for bodies certifying adventure activity operators’ safety management systems

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Authority to Issue

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1 Introduction

Purpose

1 This is the New Zealand Adventure Activities Certification Scheme (the scheme) for accredited certification bodies. It assumes the requirements of ISO/IEC 17021-1 and other mandatory documents (see below), and details additional requirements.

2 The scheme:
   i. is established to enable bodies to seek and maintain accreditation as a way to demonstrate to WorkSafe New Zealand (WorkSafe) that the requirements to be recognised, and to maintain recognition, as a safety auditor\(^1\) have been met under the Health and Safety at Work (Adventure Activities) Regulations 2016 (the regulations), which are administered by WorkSafe.
   ii. relates to the approved standards published by WorkSafe, which operators must comply with to reduce risks when providing adventure activities
   iii. was originally developed by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) and WorkSafe in consultation with a technical committee.

3 The scheme establishes auditing, certification, and monitoring requirements. It requires certification bodies to:
   i. audit an operator’s safety management system for the delivery of adventure activities and establish whether their operations comply with the relevant safety audit standards both in intention and in practice
   ii. certify operators that pass an audit, subject to an appropriate term and any conditions
   iii. monitor the certified operators for continuing compliance during the period that the certification is valid.

4 JAS-ANZ accreditation is the primary way that a certification body can demonstrate to WorkSafe that it meets, and continues to meet, the criteria in the regulations as a safety auditor. It is not the only way to be recognised.

5 Transitional, savings and related provisions as a consequence of revocation of the Health and Safety in Employment (Adventure Activities) Regulations 2011 are stipulated in the Health and Safety in Employment (Adventure Activities) Regulations 2016, Schedule 1. These provisions provide for the on-going recognition of safety audit certificates issued under those revoked regulations.

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\(^1\) Whilst the Regulations define a ‘safety auditor’ as a ‘person or organisation’ recognised by WorkSafe under regulation 9, the scheme only covers the accreditation of organisations and does not cover the accreditation of persons.
Background

6 An adventure activity operator is a Person Conducting a Business or Undertaking (PCBU) who provides an adventure activity to a participant, as defined in the regulations. The regulations require operators to pass safety audits and become registered by the registrar, which is function of WorkSafe. Only persons or organisations that WorkSafe recognises as safety auditors can conduct these audits under the regulations. The onus is on operators to contract recognised safety auditors directly.

7 Under Regulation 8 it is an offence to provide or offer to provide an adventure activity unless the operator is registered to provide that activity or is otherwise exempt under section 220 of the Health and Safety at Work Act 2015 (the ‘Act’).

8 Becoming accredited under the scheme provides a way to demonstrate to WorkSafe that the requirements to be recognised as a safety auditor have been met. When granting recognition WorkSafe must be satisfied that a certification body:
   i. has staff with the appropriate knowledge and skills;
   ii. is likely to carry out the audits objectively and in a way that promotes safety;
   iii. is unlikely to have a conflict of interest that cannot be managed.

9 The scope of a certification body’s accreditation by JAS-ANZ and recognition by WorkSafe is confined to the specific adventure activities for which it meets the knowledge and skill requirements defined in the scheme. A certification body is therefore only able to audit those adventure activities it is accredited and recognised for, subject to any conditions imposed by accreditation and recognition.

10 WorkSafe’s Safety Audit Standard for Adventure Activities: Requirements for a Safety Audit of Operators, set out requirements for operators in their delivery of adventure activities and their overall safety management system.

Normative requirements

11 The certification scheme requirements add to the following without limiting their requirements:
   - Health and Safety at Work Act 2015 (the ‘HSWA’)
   - Health and Safety at Work (Adventure Activities) Regulations 2016
   - ISO/IEC 17021-1: Conformity assessment – Requirements for bodies providing audit and certification of management systems
   - IAF MD1: Certification of Multiple Sites Based on Sampling
   - IAF MD2: Transfer of Accredited Certification of Management Systems
   - IAF MD4: Use of Computer Assisted Auditing Techniques (CAAT) for Accredited Certification of Management Systems
   - Safety Audit Standard for Adventure Activities: Requirements for a Safety Audit of Operators.

12 For undated references, the latest edition of the referenced document (including any amendments) applies.
International Standard

13 ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems, is the international standard for certification bodies certifying management systems, including safety management systems. The scheme identifies this standard as setting the primary criteria for accrediting certification bodies.

14 The scheme details the additional requirements and guidance that are needed to apply ISO/IEC 17021-1 to the audit and certification of adventure activity operators in New Zealand. The requirements of ISO/IEC 17021-1 are mandatory, and the scheme’s additional requirements must not contradict or exclude them.

Certification bodies must satisfy the requirements of ISO/IEC 17021-1 and the certification scheme, as well as the other normative requirements listed above.

Transition requirements

15 The HSWA came into force on 4 April 2016 and this introduced several important changes which operators, certification bodies and auditors are required to be aware of, and act upon. Regulations made under authority of the HSWA, have necessitated update to the Safety Audit Standard and to the New Zealand Adventure Activities Certification Scheme. The transition requirements for certification bodies and operators are:

i. Certification Bodies: are required to immediately comply with this version of the Scheme Rules. Certification Bodies are required to provide JAS-ANZ with a declaration of conformance attesting compliance no later than 30 days following the publish date of Scheme Rules (v3). Thereafter JAS-ANZ will verify implementation at the next scheduled office assessment.

ii. Certified operators: Certification bodies are to immediately adopt the Safety Audit Standard (March 2017, Version 1.1) as the certification standard. Scheduled audits are to be planned with sufficient time to verify operators progress and compliance with the Safety Audit Standard (March 2017, Version 1.1). Certification bodies may need to allow for additional audit time. Audit reports shall report upon the transition audit activities. Any findings of non-compliance shall be raised and managed as non-conformities in accordance with the Scheme Requirements. Auditor recommendation for transition shall be decided by the certifier. Once successfully transitioned the certification body shall issue a corresponding certificate to the operator and update the JAS-ANZ certificate register. All transition activities shall be completed by 1 May 2018.

iii. New operators: All new applications for certification shall be audited against the Safety Audit Standard (March 2017, Version 1.1) from date of its publishing notice in the New Zealand Gazette.
Terms and definitions

The scheme uses some terms specific to the international standards and conformity industry and that differ from those used in the regulations and WorkSafe guidance material. The following terms and definitions apply to the scheme.

**Adventure activity**  As defined in regulation 4 of the Health and Safety at Work (Adventure Activities) Regulations 2016.

**Ancillary services**  Services provided by an operator to participants that supplement and support the operator’s adventure activities (Safety Audit Standard).

*Notes*

i. Ancillary services should be included in an operator’s safety management system.

ii. Safety audits against the relevant safety audit standard will review only those ancillary services which involve a serious risk to health and safety (e.g. off-road transport to or from an adventure activity).

**Audit**  Systematic, independent, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specific requirements are fulfilled (ISO/IEC 17000, clause 4.4).

**Audit team**  One or more auditors conducting an audit, supported if needed by technical experts.

**Auditor**  Person who conducts an audit.

**Certification body**  Referred to as safety auditor in the regulations – also referred to as Conformity Assessment Body (CAB), audit body, and auditor.

*Note:* In this document, auditor and safety auditor refer to individuals.

**Client**  Further to the definition in ISO/IEC 17021-1, clause 3.1, the client may be a business unit of an operator.

*Note:* An operator may hold separate safety certificates for separate business units within the same legal entity.

**Comparable adventure activities**  Different adventure activities that involve broadly similar risks & hazards, and involve similar risk management (although each activity may have some unique hazards). These are grouped together in the Technical Competency Table.
Consulting services

As per the definition of ‘management system consultancy’ from ISO IEC 17021-1 clause 3.3, being:

Participation in establishing, implementing or maintaining a management system.

Example 1: Preparing or producing manuals or procedures.

Example 2: Giving specific advice, instructions or solutions towards the development and implementation of a management system.

Note 1: Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information; i.e. the trainer should not provide client-specific solutions.

Note 2: The provision of generic information, but not client-specific solutions for the improvement of processes or systems, is not considered to be consultancy. Such information may include:

- explaining the meaning and intention of certification criteria;
- identifying improvement opportunities;
- explaining associated theories, methodologies, techniques or tools;
- sharing non-confidential information on related best practices;
- other management aspects that are not covered by the management system being audited.

Good practice

Range of actions currently accepted within the adventure and outdoor sector to manage the risk of harm to staff, participants, and visitors.

Good practice should also reflect relevant standards recognised within the sector for the safe provision of adventure activities where these exist. This may include activity safety guidelines, codes of practice or conduct, other recognised guidelines, and accepted professional practices (Safety Audit Standard).

Harm

Harm is illness, injury, or both, and includes physical and mental harm caused by work-related stress. (Safety Audit Standard)
**Hazard and significant hazard**

A hazard is anything that does or could cause harm, and includes a situation where a person’s behaviour may be an actual or potential cause or source of harm to themselves or to another person e.g. due to the effects of fatigue or drugs and alcohol.

A hazard includes anything that does or could cause harm from prolonged exposure, or harm that does not usually occur or become apparent until later. (Safety Audit Standard)

A serious hazard is a hazard that does or could cause a notifiable event.

**Incident**

Event that caused or could have caused harm to any person. (Safety Audit Standard)

*Note:*

An incident that did not cause harm is also called a *near miss, near hit, close call, or near-accident, or similar.*

**Inspection**

Examining an adventure activity and determining its conformity with specific requirements or, by using professional judgement, determining its conformity with good practice.

*Notes (adapted from ISO/IEC 17000:2004)*

i. Inspection of an adventure activity may include inspection of sites, persons, clothing and equipment, and practice.

ii. Inspection may include witnessing or participating in the delivery of specific adventure activities in part or in full.

**Multi-site operator**

An operator having an identified base (but not necessarily the operator’s headquarters) at which certain activities are planned, controlled, or managed, and a network of sites at which activities are fully or partially carried out.

**Notifiable event**

A notifiable event is defined in section 25 of HSWA as meaning any of the following events that arise from work: the death of a person; a notifiable injury or illness, or a notifiable incident.
Notifiable incident

Notifiable incident is defined in section 24 of HSWA as meaning an unplanned or uncontrolled incident in relation to a workplace that exposes a worker or any other person to a serious risk to that person’s health or safety arising from an immediate or imminent exposure to:

- an implosion, explosion, or fire
- an escape of gas or steam
- an escape of a pressurised substance
- an electric shock
- the fall or release from a height of any plant, substance, or thing
- the collapse or partial collapse of a structure
- other items listed in the HSWA.

Notifiable injury or illness

A notifiable injury or illness has the meaning defined in section 23 of HSWA, which includes (in part):

(a) any of the following injuries or illnesses that require the person to have immediate treatment (other than first aid):

- the amputation of any part of their body
- a serious head injury
- a serious eye injury
- a serious burn
- the separation of their skin from an underlying tissue (e.g. degloving)
- a spinal injury
- the loss of a bodily function
- serious lacerations

(b) an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment

(c) an injury or illness that requires, or would usually require, the person to have medical treatment within 48 hours of exposure to a substance

(d) any serious infection to which the carrying out of work is a significant contributing factor

(e) any other injury or illness declared by regulations to be a notifiable.

On-site evaluation

Auditing activities, including inspection, to obtain and evaluate evidence to determine the extent to which the operator’s safety management system for the delivery of adventure activities complies with the relevant safety standards.
| **Operation** | The business and organised action, process, or manner of providing an adventure activity or ancillary service (Safety Audit Standard). An adventure activity operator or operator means a ‘person conducting a business or undertaking’ or ‘PCBU’ who provides an adventure activity to a participant. The meaning of PCBU is defined in section 17 of the HSWA. |
| **Operator** | Land-based or water-based activity, the main purpose of which is the recreational or educational experience of the participant, except activities defined in the regulations as adventure activities. |
| **Other outdoor activity** | Person who participates in an adventure activity and is not staff. (Safety Audit Standard) |
| **Participant** | Is defined in section 3 of the Regulations as meaning where an operator: |
| **Provide** | a) Directly provides the activities in person, or |
| **Registrar** | b) Indirectly provides the activities through an employee or other person. |
| **Regulation** | Registrar means a person or an organisation recognised by WorkSafe to: |
| **Registrar** | a) Keep and maintain a public register of adventure activity operators authorised to provide adventure activities, and |
| **Registration** | b) Suspend or cancel the registration of operators in appropriate situations. |
| **Regulations** | Recording an operator as an operator authorised to provide the adventure activities specified on the safety certificate provided by the certification body. |
| **Risk** | Health and Safety at Work (Adventure Activities) Regulations 2016. |
| **NOTE:** Where this document also uses ‘risk’ in an operational context, rather than and auditing context, ‘risk’ refers to one or more potential undesired, harmful events. |
| **Safety audit standard** | Standard published by notice in the Gazette under regulation 19 of the regulations. |
| **Safety audit standard** | Note: Safety audit standards specify the requirements that operators must comply with to eliminate or minimise risks when providing adventure activities. |
| **Safety audit certificate** | As required by the regulations, a statement that specifies that an operator’s safety management systems for delivery of adventure activities were audited, the period for which the audit is valid, and the conditions (if any) to which the certificate is subject. |
| **Safety management system** | Documented management system for directing and controlling an operation in regard to safety (Safety Audit Standard). |
Site
Place where an operator provides adventure activities and ancillary services in part or in full. (This varies from IAF MD1 definition but it is consistent with IAF MD1, clause 2.1.2).

Surveillance
Mechanisms in which the certification body monitors a certified operator’s continued compliance with the certification requirements, including:
   a) Surveillance audits.
   b) Declarations of conformity with the certification requirements.
   c) Compliance with certification conditions that require actions by the operator.
   d) Information related to safety that is received from operators, WorkSafe, or other persons.

Technical expert
Person who is recognised by the certification body as having very high skills and knowledge of a specific adventure activity or comparable activity as detailed in Qualifications and Attestation.

Workplace
As in section 20 of the HSWA.

Worker
As defined in Section 19 of the HSWA.
2 Certification Body

Responsibilities

1 The responsibilities of a certification body are to:

i. Send WorkSafe (through the WorkSafe established process) the operator profile (Appendix C) as soon as practicable once the contract for services has been agreed.

ii. Conduct audits and certification in accordance with the scheme requirements for an operator’s provision of adventure activities covered by the regulations.

iii. Conduct audits, including on-site evaluation as required, of an operator’s provision of an adventure activity’s conformance to the safety audit standard(s), both in intention and in practice.

iv. Give written notice to an operator of whether the operator passed an audit and, if the operator failed an audit, the reasons for the failure, and provide the registrar with a copy of any notice to the operator that they failed the audit, along with the failed audit report.

v. Grant certification to the safety audit standard to operators that pass the audit subject to an appropriate term and any conditions.

vi. Provide WorkSafe with any audit reports, as requested.

vii. Immediately notify WorkSafe of any imminent risk of a notifiable event identified during an audit.

viii. Notify the registrar promptly of the decision to issue a safety certificate by using WorkSafe’s online facility; and uploading a copy of the certificate, any associated schedule, and the audit report.

ix. Pay WorkSafe the operator’s registration fees for the period the safety certificate is valid.

x. Conduct surveillance activities to ensure that the provision of adventure activities by the certified operators continues to comply with the relevant safety audit standard.

xi. Ensure that all scheme communications accurately reflect the objective of the auditing and certification services. In particular, that the audit and certification is a determination of conformance to the safety audit standard(s), and not a statement to the effect that the activity is ‘safe’. Refer to Audit Objective.

xii. Notify WorkSafe within 5 days if it becomes aware that

a. The operator has provided false information or evidence to obtain a safety audit certificate

b. The operator has not complied with a condition of their current safety audit certificate.
2. The certification body will have a process to ensure it conducts its certification business in a way that is objective and that promotes safety and the public interest. This includes ensuring that:
   
   i. Auditors agree to a code of conduct – see the list of requirements in Appendix A: Auditor’s Code of Conduct.
   
   ii. Staff will not be used or have access to confidential information unless they are bound by a current contract and a statement of confidentiality.
   
   iii. All audit and certification personnel declare any conflict of interest for any audit activity for which they are engaged.
   
   iv. Its communications align with the objective of the audit as outlined above and in section 4 (Audit Process).

3. The certification body will ensure auditors continue to be competent as follows:
   
   i. They can demonstrate relevant professional development through regular participation in adventure activity audits and completion of professional development education and training relevant to their scope of auditing competencies. Additionally, the certification body will ensure that audit team personnel with technical competencies continue to meet currency requirements – see Maintaining currency.
   
   ii. The certification body will conduct an annual performance review of all employed and contracted auditors – see ISO/IEC 17021-1 Annex B for possible methods for the evaluation of an individual’s competence.
      
      - A witness assessment of each auditor will be undertaken within 12 months of the auditor conducting their first audit or after they have completed six audits, whichever comes first.
      
      - Thereafter, an internal witness assessment will be conducted at least once every three years. An increased frequency of witness assessments will be undertaken as necessary to validate auditor competency e.g. when the auditor has been auditing infrequently. To the satisfaction of JAS-ANZ, a certification body may comply with this requirement through effective auditor moderation and review processes.
      
      Note: Where JAS-ANZ conducts an auditor witness assessment, that report may be used to satisfy any internal witness assessment requirement of that auditor and will be used in the annual performance review of that auditor.

4. To provide WorkSafe with the opportunity to alert the certification body of any specific matters to be considered in its evaluation, certification, or surveillance activities:
   
   i. Once the contract for services has been agreed with the operator, the certification body will send WorkSafe the Operator Profile information at Appendix C (through the standard process)
   
   ii. On request, the certification body will make available to WorkSafe a schedule of planned audit activities, detailing the names of the operators and anticipated audit dates, together with any related information WorkSafe may reasonably request.
   
   iii. At any time, WorkSafe may advise the certification body of any concerns it has in respect of an applicant or certified operator.
5 The certification body will develop procedures that detail the action it will take if the audit team discovers what they consider to be a breach of the law, including:
   i. Recognising any breach as a nonconformity.
   ii. Promptly communicating the breach to the operator and, where required, to the registrar.

6 The certification body will operate an internal appeals system, which is documented and conveyed in writing to operators. Auditable records of the facts and outcomes of client appeals will be maintained by the certification body and provided to the registrar.

7 The certification body will disseminate all relevant scheme updates to the certification body and audit team personnel (employed or contracted).

Managing impartiality

8 The aim of certification is to inspire confidence that an operator's delivery of adventure activities is safe. The value of certification is the degree of public confidence established by a third party. A critical attribute to providing confidence is establishing and maintaining impartiality in the certification process. Being impartial and being perceived to be impartial is necessary for a certification body to deliver certification that provides confidence.

9 To obtain and maintain confidence, it is essential that a certification body’s decisions are based on objective evidence of conformity and nonconformity, and that those decisions are not influenced by other interests or by other parties.

10 Parties that have an interest in certification include the operator, participants, staff, regulators (e.g. WorkSafe, Maritime New Zealand, and the Department of Conservation), industry organisations, consumers of the activity, and members of the public.

11 The adventure activity sector is small and there are many existing relationships among operators, safety consultants, contractors, and staff – auditors and technical experts are likely to have significant relationships with operators. A relationship between the certification body and the operator does not necessarily present a conflict of interest. However, if the relationship creates a threat to impartiality, the certification body will document how it eliminates or minimises the threat. Such a relationship may be based on factors such as ownership, governance, management, personnel, shared resources, finances, contracts, marketing, and payment of a sales commission or other inducement for the referral of new clients. It is imperative that a certification body establishes and maintains impartiality between their audit teams and clients.

12 A certification body may arrange and provide generic training courses. However, it will not provide specific solutions or a particular system for implementation to an operator. Training on operations, safety management systems, or auditing will only provide:
   i. Generic information available in the public domain.
   ii. A range of options or approaches for operators to decide on.

 [Also refer to ‘consulting services’ in Terms and Definitions].
The fact that the operator paying for certification is the revenue source for a certification body is an inherent risk to impartiality. Other risks to impartiality include:

i. Threats from a person or body:
   • Acting in their own interests, e.g. financial self-interest.
   • Reviewing work done by themselves, e.g. consulting on and auditing the safety management processes and operations of an operator within a two-year period (or more, depending on the situation).
   • Being too familiar with or trusting of an operator instead of seeking objective audit evidence.
   • Having a perception of being coerced openly or secretively, e.g. a threat to be replaced or reported to a supervisor.

ii. Using an audit team member or audit certifier who was an employee or contractor for the operator.

iii. Relying on the advice of a technical expert who has advised the operator on their operations or safety management system.

iv. Contracting auditors who provide consulting services to other operators who are clients of the certification body.

v. Marketing the certification body's activities as linked with the activities of an organisation that provides consulting services for adventure activity safety.

vi. Stating or implying that certification would be simpler, easier, faster, or less expensive if a particular consultancy organisation were used.

vii. Granting certification to an operator that the certification body has a relationship with e.g. a shareholding or governance role.

The certification body will establish processes to manage risks to impartiality and conflicts of interest to ensure that it:

i. Will not provide consulting services as well as auditing services to an operator, observing a stand-down period of at least two years

ii. Will apply the minimum two-year stand-down period to an auditor in relation to a particular operator when the auditor provided consulting services to that operator.
## 3 Personnel

### Competency and roles overview

<table>
<thead>
<tr>
<th>Auditors</th>
<th>Technical experts</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non-technical competencies</strong></td>
<td><strong>Non-technical competencies</strong></td>
</tr>
<tr>
<td>i. Generic management system auditing competencies, as defined in ISO IEC 17021-1 Annex A and outlined in 6, below;</td>
<td>Non-technical competencies are not required.</td>
</tr>
<tr>
<td>ii. Competencies for auditing the operations and safety management systems of adventure activity operators, as outlined in 7, below.¹</td>
<td></td>
</tr>
</tbody>
</table>

### Audit team role

**Auditors**

Responsible for independently auditing an adventure activity in accordance with this Scheme and the Safety Audit Standard, as supported by a technical expert except where the auditor is also a technical expert.

**Technical experts**

As outlined in the [Technical Competency Table](#), a Technical Expert must either hold a current qualification or attestation, as required.

### Audit team role

Support auditor/s by advising on the activity or activities for which they are technically competent – this includes any comparable adventure activities ii. An auditor may require the technical expert to support the audit in all aspects, beyond those related to the specific activity.

### Notes

i. This could be demonstrated through a nationally or internationally recognised auditor, or audit team leader where required, training or equivalent in *Occupational health and safety management systems* or its international equivalents such as OHSAS 18001; the New Zealand Certificate in Recreation (Safety Auditing) Level 6; or any comparable qualification.

ii. Comparable adventure activities refer to those activities that involve similar hazards and risk management as grouped in the [Technical Competency Table](#).
Resources for Evaluation

1. This section details the mandatory requirements for the competence of a certification body’s audit teams, audit team leaders, auditors, technical experts and the certification decision maker. Competency requirements are defined in accordance with, and are additional to, ISO/IEC17021-1 Annex A.

2. The certification body must engage on an on-going basis sufficient personnel such that their combined technical competency is relevant to each of the adventure activities the certification body is accredited for under the scheme. The certification body:
   i. May employ or contract personnel.
   ii. Will maintain a register of their personnel – see the example form Appendix B: Audit Personnel Register (Appendix B).

   Note: The relevance of technical competency to specific and comparable activities is as defined in Qualifications and Attestation.

3. Depending on the unique circumstances of the audit, the following table summarises the scheme-specific technical knowledge or skills required for each role in the auditing and certification process. A double tick indicates a higher level of skills or knowledge is required. The competencies indicated in the table could all be held by the same person or across the audit team i.e. where the auditor holds all required knowledge or skills, a technical expert will not be required. Other required non-technical competencies are established in ISO IEC 17021-1 Annex A and clause 6 below.

<table>
<thead>
<tr>
<th>Knowledge or skills</th>
<th>Application reviewer</th>
<th>Audit team leader</th>
<th>Auditor</th>
<th>Technical expert</th>
<th>Decision maker</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge of safety management systems</td>
<td>✓</td>
<td>✓✓</td>
<td>✓✓</td>
<td></td>
<td>✓✓</td>
</tr>
<tr>
<td>Knowledge of the regulations, the scheme, the Safety Audit Standard and the certification body’s procedures.</td>
<td>✓</td>
<td>✓✓</td>
<td>✓</td>
<td></td>
<td>✓✓</td>
</tr>
<tr>
<td>Knowledge of the adventure activities provided by the operator, good practice and associated regulatory requirements and safety standards.</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓✓</td>
<td></td>
</tr>
</tbody>
</table>
Auditors

4 The competencies of auditors are non-technical competencies for auditing the compliance of an operator’s adventure activities with the relevant safety audit standards, as further detailed below. Auditors will understand the limits of their personal competency and know when to seek advice from a technical expert e.g. when an operator has made or is proposing changes to the adventure activities provided, including the sites used, that may change the type, likelihood, or severity of hazards and risks to the health and safety of staff or participants.

5 Where the auditor also meets the requirements of a technical expert to audit the activity or activities, a technical expert will not be required for that activity. An auditor can also act as a technical expert only, as part of an audit team - see Technical experts.

Non-technical competencies

6 Auditors will have evidence of having completed a nationally or internationally recognised auditor, or audit team leader, training or equivalent, comprising:

   a) Generic management system auditing competencies, as defined by ISO/IEC 17021-1 Annex A including the following:
      i. Knowledge of business management practices
      ii. Knowledge of audit principles, practices and techniques
      iii. Knowledge of specific management system standards/normative documents.
      iv. Knowledge of certification body’s processes
      v. Knowledge of client’s business sector
      vi. Knowledge of client product, processes and organisation
      vii. Language skills appropriate to all levels within the client organisation
      viii. Note taking and report-writing skills
      ix. Presentation skills
      x. Interviewing skills
      xi. Audit-management skills

   b) Competencies for auditing the operations and safety management systems of adventure activity operators covering the following:
      i. Generic management system auditing competencies outlined at 6, above.
      ii. Applicable legal and other requirements that apply to an adventure activity operator, including the Health and Safety at Work Act 2015 and the Health and Safety at Work (Adventure Activities) Regulations 2016.
      iii. Definition and classification of adventure activities, including interpretation and application to the operator’s activities that are being audited.
      iv. Application of the scheme and safety audit standards.
      v. Conversance with the adventure activities sector.
vi. Conversance with hazards and operating conditions common in New Zealand in as far as they are applicable to those matters the auditor is responsible for auditing and to the extent necessary to ensure effective communication with other audit team members, including any technical expert.

vii. Knowledge and understanding of staff competence, emergency procedures, incident reporting and analysis, and safety culture.

viii. Assessing staff competencies relevant to the operator’s safety management system.

ix. Knowledge and understanding of good practice applicable to the adventure activity that is the subject of the audit to the extent necessary to ensure effective communication with other audit team members, including any technical expert.

x. Role of technical experts.

**Code of conduct**

7 Auditors will work to their certification body’s code of conduct, which will incorporate the requirements listed in Appendix A: Auditor’s Code of Conduct.

**Scheme Communications**

8 Certification body and auditor communications must align with the objective of the audit as outlined in section 4 (Audit Process).

**Technical experts**

9 A technical expert is someone who meets the technical competency requirement - see Technical Competency below, namely:

i. meets the technical qualification requirements – see Qualifications and Attestation, or

ii. holds an attestation that satisfies the requirements for technical knowledge and skills – see Attestation, and

iii. is recognised by the certification body as a technical expert.

10 The requirements for technical experts as defined above recognise that:

i. They have a high level of skill and knowledge of the adventure activity being audited, including knowledge of current good practice and how this can be reflected in a safety management system.

ii. Maintaining the currency of such a qualification or attestation demands a continuing high-level of experience and professional development.

iii. People who hold such a qualification or attestation have the knowledge and experience to provide technical expertise to an audit of relevant adventure activities, provided they have kept up-to-date with good practice in those adventure activities.

iv. Nationally recognised high-level qualifications are not available for all adventure activities.
Audit team

Composition

11 An audit team may comprise:
   i. One person where an auditor is also a technical expert for the activity or activities being audited
   ii. An auditor and technical expert(s)
   iii. For large operations, more than one auditor may be required, including an Audit Team Leader.

12 The certification body is responsible for the selection and composition of its audit teams, and will maintain records justifying audit team selection for each audit.

13 The certification body will have criteria and processes for the selection of audit teams to ensure they have the appropriate qualifications, knowledge, and skills to establish whether an operator complies with the safety audit standards applying to the adventure activity or activities being audited.

14 When an auditor-in-training is included in an audit team, an auditor who is competent to take over their duties must be appointed as their supervisor with final responsibility for the performance of those duties. The audit team leader may be appointed as the supervisor.

15 It is not necessary that all audit team members visit all locations where the audit activities are conducted – also see Using technical experts.

Technical competency

16 The technical competency required of an audit team will be determined in relation to the specific adventure activity or activities being audited, along with the type of operation.

17 For each activity, there must be a technical expert who is a member of the team and whose technical competency is relevant to that specific activity. Where the technical expert holds suitable audit qualifications, they may also be the auditor. The auditor may require a technical expert to support the audit in all aspects, beyond those related to the specific activity.
   Note: The relevance of technical competency to specific and comparable activities is as defined in Qualifications and Attestation.

18 An audit team must be competent to assess the safety management system’s application to any relevant ancillary services provided by the operator— for a definition of ancillary services, see Terms and definitions.
   Note: The certification body should develop guidance for auditors on when and how to audit ancillary services.
**Audit team leaders**

19 For audit teams comprising more than one auditor, the certification body will appoint an auditor to be the audit team leader. The responsibilities and duties of the audit team leader for an audit will be in accordance with ISO/IEC 17021-1 Annex A, A.2.1 to A.2.11.

20 If an audit team consists of a single auditor, the auditor will perform the duties of an audit team leader.

**Attestation**

21 Attestation is the process by which an independent opinion is sought and expressed on the technical competency of a person in relation to the safe delivery of one or more adventure activities.

22 In accepting an attestation for a technical expert, the certification body will ensure that:
   i. The person became technically competent through substantial professional experience in instructing or guiding participants at a level involving dynamic management of the risks involved.
   ii. Through their professional experience, the person is conversant with, the hazards presented by the New Zealand environment to the safe management of the activity or activities e.g. weather, terrain, waters, and other natural hazards.
   iii. Can provide evidence that the technical expert’s knowledge and skills reflect continuing substantial professional experience and development in instructing or guiding participants in the activity or activities at a level involving dynamic management of risks.

23 An attestation will:
   i. Be provided by an independent person who is recognised within the adventure and outdoor sector as a suitable person to provide such an attestation. A suitable person is someone who combines factors such as:
      • Technical expertise.
      • Involved at a national level in developing, implementing, and maintaining standards, codes of practice, activity safety guidelines, or qualifications.
      • Involved in the governance or management of professional associations.
      • Involved in national or international forums or conferences.
      • Has worked or is working as a qualified trainer in that adventure activity.
   ii. Detail the name, contact details, position, affiliations, and experience of the person providing the attestation.
   iii. Detail the relationship between the parties.
   iv. Detail the scope of the technical competencies for which attestation is provided, including its application to the safe delivery of comparable adventure activities.
   v. Detail any limitations to the attestation.
   vi. Detail the evidence used e.g. training, logbook, testing, references, in the assessment and formation of the attestation provided.
A certification body will assess the attestation alongside other evidence of a person’s competence and affiliations e.g. risks to impartiality in determining the person’s suitability as a technical expert. Where the certification body accepts a technical expert on the basis of attestation, records of that decision will be made available to JAS-ANZ on request.

Attestations are valid for a three-year period unless otherwise revoked by the certification body or the attestation provider.

Maintaining currency

Auditor

An auditor must maintain their non-technical competencies as required by the relevant qualification and the certification body.

Technical expert

A technical expert must maintain their technical competency by ensuring their knowledge of current, professional safety practice in the relevant specific adventure activity or activities remains up-to-date. They may do so in one or more of a variety of ways:

i. By obtaining and maintaining relevant qualifications – see Qualifications and Attestation.

ii. By maintaining relevant attestations – see Qualifications and Attestation.

iii. By training and assessment in what is currently accepted as good practice for the specific activities – such training may be internal or external to the certification body and should reflect relevant standards for the safe delivery of the activities where these exist, including safety activity guidelines.

iv. By completing scheme audits of each specific adventure activity on an ongoing basis.

v. By other means to the satisfaction of JAS-ANZ.

A person recognised as a technical expert on the basis of an attestation must obtain a new attestation before the current one expires.

Validation and maintenance of competency

The certification body is responsible for ensuring that:

i. Personnel who plan and conduct audits, and who act as technical experts, have the required skills and knowledge. The certification body must independently verify and document the relevant qualifications, attestations (if applicable), knowledge, and skills of its personnel.

ii. Personnel maintain the currency of their auditing competencies and technical expertise by continuing to validate their qualifications and attestations, and keeping their knowledge and skills current. The certification body’s on-job assessments and performance reviews will be one means of meeting this requirement.
Qualifications and Attestation

30 The Technical competency table should be read in conjunction with the list of adventure activities published on the WorkSafe website. The activities listed are not exhaustive but indicate activities that could be subject to the regulations, depending on whether they meet all the criteria in regulation 4. The table shows the groups of comparable activities, of which the same technical expert can be used because they involve broadly similar hazards and risk management.

31 Either the nationally recognised high-level qualifications listed in the technical competency table or an attestation will be a prerequisite, but not the sole means, for demonstrating competence.

32 In general, qualification holders must have been active in the field that their qualification covers for at least two years after they gained the qualification. Attestations will recognise similar experience. The measure for diving competency is different (see below).

33 Other activity groups and/or high level qualifications, such as international qualifications or the New Zealand Certificates developed by Skills Active Aotearoa, may be added to the table in due course. Until such time as the table is updated, attestation can be used as evidence that the individual meets the criteria as a technical expert.
<table>
<thead>
<tr>
<th>Activity groups</th>
<th>Qualification or attestation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abseiling</td>
<td>NZOIA Alpine 2</td>
</tr>
<tr>
<td>Bridge swinging</td>
<td>or</td>
</tr>
<tr>
<td>Canyon swinging</td>
<td>NZMGA Climbing Guide</td>
</tr>
<tr>
<td>Rock climbing</td>
<td>or</td>
</tr>
<tr>
<td></td>
<td>NZOIA Rock 2</td>
</tr>
<tr>
<td></td>
<td>or</td>
</tr>
<tr>
<td></td>
<td>Attestation</td>
</tr>
<tr>
<td>Heli-skiing</td>
<td>NZMGA Ski Guide</td>
</tr>
<tr>
<td>Back-country ski/board</td>
<td>or</td>
</tr>
<tr>
<td></td>
<td>Attestation</td>
</tr>
<tr>
<td>Glacier walking</td>
<td>NZOIA Alpine 2</td>
</tr>
<tr>
<td>Mountaineering</td>
<td>or</td>
</tr>
<tr>
<td></td>
<td>NZMGA Climbing Guide</td>
</tr>
<tr>
<td></td>
<td>or</td>
</tr>
<tr>
<td></td>
<td>NZMGA Ski Guide</td>
</tr>
<tr>
<td>Other snow activities outside a patrolled ski area e.g. snow shelter building, snow shoeing, avalanche education and ski touring</td>
<td>Note: The qualification must relate to the particular snow activity and the terrain or Attestation</td>
</tr>
<tr>
<td>High ropes course</td>
<td>Attestation</td>
</tr>
<tr>
<td>High wire crossing</td>
<td></td>
</tr>
<tr>
<td>Zip wire</td>
<td></td>
</tr>
<tr>
<td>Kite sports (e.g. kite-surfing, snow-kiting)</td>
<td>Attestation</td>
</tr>
<tr>
<td>Sailing</td>
<td>Attestation</td>
</tr>
<tr>
<td>Windsurfing</td>
<td></td>
</tr>
<tr>
<td>Off-road vehicle driving</td>
<td>Attestation</td>
</tr>
<tr>
<td>Quad biking</td>
<td></td>
</tr>
<tr>
<td>Trail biking</td>
<td></td>
</tr>
<tr>
<td>Open-water canoeing</td>
<td>NZOIA Sea Kayak 2</td>
</tr>
<tr>
<td>Open-water kayaking</td>
<td>or</td>
</tr>
<tr>
<td>Open-water stand-up paddle boarding</td>
<td>Attestation</td>
</tr>
</tbody>
</table>
### Technical competency table (continued)

<table>
<thead>
<tr>
<th>Activity groups</th>
<th>Qualification or attestation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pack rafting</td>
<td>NZOIA Kayak 2 or National Rafting Senior Guide Grade 4/5&lt;br&gt;Attestation</td>
</tr>
<tr>
<td>River boarding</td>
<td></td>
</tr>
<tr>
<td>Stand-up paddle boarding (rivers)</td>
<td></td>
</tr>
<tr>
<td>Tube rafting</td>
<td></td>
</tr>
<tr>
<td>White-water canoeing (including inflatables)</td>
<td></td>
</tr>
<tr>
<td>White-water kayaking</td>
<td></td>
</tr>
<tr>
<td>Cliff jumping (into water)</td>
<td>National Rafting Senior Guide Grade 4/5 or Attestation</td>
</tr>
<tr>
<td>Free diving</td>
<td>PADI IDC Staff Instructor&lt;br&gt;SSI Dive Control Specialist Instructor&lt;br&gt;SDI / TDI Instructor with Specialties&lt;br&gt;BSAC Instructor 2 star&lt;br&gt;GUI Instructor with Specialties&lt;br&gt;Note: In addition, qualification holders must have conducted at least 50 certifications of individuals, including 10 for Specialty Diver, 10 for Rescue Diver, and 5 for Dive master qualifications.</td>
</tr>
<tr>
<td>Scuba diving</td>
<td></td>
</tr>
<tr>
<td>Snorkelling</td>
<td></td>
</tr>
<tr>
<td>Bungy jumping</td>
<td>Attestation</td>
</tr>
<tr>
<td>Canyoning</td>
<td>NZOIA Canyon 2 or Attestation</td>
</tr>
<tr>
<td>Caving</td>
<td>NZOIA Cave 2 or Attestation</td>
</tr>
<tr>
<td>Coasteering</td>
<td>Attestation</td>
</tr>
<tr>
<td>Mountain biking</td>
<td>Attestation</td>
</tr>
<tr>
<td>Inflatable ball rolling (e.g. “Zorb”)</td>
<td>Attestation</td>
</tr>
</tbody>
</table>
4 Audit Process

Audit process overview

Pre-engagement

- Exchange of information between operator and certification body
- Review of information for certification
- Estimate
- Contract
- Provide WorkSafe NZ with Operator Profile
- Appoint audit team leader

Audit

- Stage 1 Document review
- Resolve any nonconformities
- Audit planning – Provide WorkSafe NZ with audit schedule
- Stage 2 On-site evaluation
- Draft report
- Resolve any nonconformities
- Final report including recommendations

Monitoring

- Monitor surveillance programme
- Conduct surveillance audits
- Review declarations of conformity

Certification - conditions?

- Provide decision on Certification, including certificate, and final audit report to WorkSafe NZ
- WorkSafe registration process

Recertification

- Initiate special audits if required
- Resolve any nonconformities
- Maintain or review certification status
- Advise WorkSafe NZ on any change to certification status

Recertification

4. Audit Process

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1. The audit process outlined in the scheme, including the above diagram and process below, illustrates the key steps. There may be differences in approach between certification bodies. In particular, audit planning may occur before the stage 1 document review and could be changed throughout the process.

2. The certification body must provide the requisite documentation to WorkSafe in the timeframe specified and ensure the audit covers both stage 1 and 2, unless in exceptional circumstances or otherwise agreed.

**Audit Objective**

3. The objective of the audit is to determine the extent the operator’s safety management system under which adventure activity(s) are delivered conforms to the safety audit standard(s) in intention and practice.

**Pre-engagement with an operator**

4. Before conducting an audit, a certification body must exchange information with an operator, provide an estimate of time and cost, and, if agreed, complete a contract.

5. A certification body requires the following operator information to support an application:
   - i. The operator’s full legal name.
   - ii. Any other associated legal name or trading name.
   - iii. The operator’s profile – see the forms in the Appendix C: Operator’s Profile.

6. Applications for transfer of safety certificates between certification bodies will be treated in accordance with IAF MD2.

7. The certification body will establish a contract with the operator that:
   - i. Requires the certification body to immediately notify WorkSafe of any provision of an activity that poses an immediate risk of a notifiable event.
   - ii. Reiterates to the operator the obligation to keep a record (as required under the HSWA) of each notifiable event, in the workplace, and to notify these events to a regulatory authority, in accordance with section 56 of the HSWA.
   - iii. Requires the certification body to provide WorkSafe with the Operator’s Profile information (see Appendix C) provided to support an application as soon as practicable once the contract for services has been agreed.
   - iv. Requires the certification body to provide WorkSafe with all audit reports if requested by WorkSafe.
   - v. Outlines the certification body’s right to terminate, reduce scope, suspend, or withdraw certification after discussion with the operator, and the implications for registration of that operator.
8 The certification body will:
   i. Confine audit and certification under the scheme to adventure activities as defined by the regulations.
   ii. Establish by agreement with the operator that the operator has correctly determined that any other activity it provides is not subject to the regulations.
   iii. Ensure that the operator understands that it may engage the certification body to audit other activities that do not fall within the scope of the regulations, but that this would be voluntary and is not covered by either the regulations or the scheme; and any reports or decisions provided in regard to these audits will be separated from the reporting and certification process under the scheme.

Stage 1: Document review

9 This stage involves an auditor using their professional judgement to review an operator’s safety management system against the relevant safety audit standard. The document review will also include any:
   i. Previous audit reports
   ii. Relevant good practice

10 Some documents that form the safety management system may need to be reviewed on-site e.g. staff qualification and training records.

Stage 2: On-site evaluation

11 This stage involves an auditor using their knowledge and experience to review an operator’s practice. A substantive part of a certification audit will be carried out at the operator’s workplaces and will include verification of implementation of the safety management system. This will include inspection (in part or in full) of some or all adventure activities in operation as well as review of documentation not previously seen, and interviews with staff and participants.

12 Any member of an audit team may participate in an adventure activity where such participation is needed to gather objective evidence to inform the audit opinion. Participation will take place only if the audit team member has appropriate technical competency and clothing and equipment, and can participate safely.
Audit planning

13 Audit planning will be informed by the Appendix C: Operator’s Profile and the Audit duration guidelines.

14 The certification body will develop and document a specific audit plan for each operator. The audit plan will include the:
   i. Audit scope e.g. an operator’s safety management system, activities and sites.
   ii. Operator’s compliance with those safety audit standard topics that have been weaknesses in the sector, e.g. top leadership’s commitment to the safety management system, drugs and alcohol policy and implementation, and analysis of the incident register and its follow through into the safety management system.
   iii. Roles and responsibilities of the audit team members and accompanying persons (when the audit team has more than one person, including any technical experts who will be consulted remotely).
   iv. Expected duration and locations of the on-site evaluations, and which audit team members will be involved.

15 The certification body will review the operator’s profile at the time of each audit and record changes from any previous profile.

16 Remote auditing techniques for certification, surveillance, and special audits will only be used in accordance with IAF MD4.

Audit scope

17 The overall scope of the audit is confined to those activities that are subject to the regulations, as defined by regulation 4. Where there is an agreement with the operator to audit other activities, the certification body must clearly differentiate the processes and outcome for an audit of adventure activities covered by the regulations, and any processes and outcomes for those activities not covered by the regulations.

18 Within this, the scope of an audit refers to the extent and boundaries of the audit, including physical locations, operating business units, specific adventure activities, and any ancillary services. Furthermore:
   i. The audit scope, in describing the specific adventure activities and ancillary services, should identify any activities, sites, or services that are or might not be operational at the time of the audit.
   ii. For clarity, the audit scope may need to specifically identify any activities or services that are excluded.

19 In particular, the audit scope will identify:
   i. The specific adventure activities, specific sites, and ancillary services that will be subject to on-site evaluation.
   ii. The nature and extent of the on-site evaluations.
As appropriate, the audit plan should include contingencies for circumstances that might arise that require varying the planned on-site evaluations e.g. bad weather. Such circumstances will include the nature of the audit evidence being obtained and evaluated. The contingencies may include additional support from technical experts.

**Sampling**

See ‘IAF MD1: Certification of Multiple Sites Based on Sampling’ and location guidance for auditors on WorkSafe’s website.

Regardless of whether an operator is eligible for sampling, activity or site sampling is not suitable where there are variable local factors which adversely impact on an operator’s capability to consistently comply with the relevant safety audit standard, or where there is an increased or a different risk of harm to staff and participants. Such factors include:

i. Use of critical site-specific safety equipment.

ii. Variability of activity risks e.g. climate, sites, staff experience, and participant experience levels.

Where multiple adventure activities are provided, or multiple sites are used, a representative sample of activities and sites may be selected for on-site evaluation as per the requirements of IAF MD1.

In determining an operator’s eligibility for activity or site sampling, the certification body shall also consider:

i. The operator’s safety history.

ii. The operator’s knowledge of the adventure activities and good practice.

iii. Findings of previous audits.

iv. WorkSafe advice.

Determining the number and sites of activities to be audited will be based on the requirement to satisfy the objectives of the audit. The number and sites of activities required for on-site evaluation will take into account the number and extent of any comparable activities that are part of the same set of operations e.g. management, staff, sites, and safety management system. The certification body will document its reasoning for sampling, and document at least a summary of this reasoning in the audit report.
Activities not witnessed

Where an operator provides an adventure activity that requires on-site evaluation but which is not operating at the time of audit, or due to the sampling will be audited at a later stage, then certification may be granted for that activity subject to conditions. The conditions may require subsequent completion of the on-site evaluation of that activity by a specified means and date e.g. in the season that the activity is provided or during the next audit. The specified means will be decided by the certification body e.g. a surveillance audit conducted by the certification body or a review by an external technical expert engaged by the operator.

i. Before granting certification, the certification body must be satisfied that the safety management system associated with that activity complies with the relevant safety audit standards. A technical expert must be consulted for advice regarding the documented operating procedures, to maintain consistency with paragraph 28 (below)

ii. If the certification body is not satisfied with the operator’s safety management system in relation to that activity or, if it is unable to establish suitable conditions for such certification, then it must confine the certification scope to those activities for which compliance with the relevant safety audit standards has been established.

Guidance note:
Where an operator provides one or more adventure activities at different locations (e.g. dive sites) the certification body is required to determine whether each site and associated activities requires evaluation by the certification body as a prerequisite to certification, or whether the operator’s safety management system is of sufficient maturity and effectiveness to satisfy the certification body that audit effort in respect of each site and activity is not a prerequisite for certification. In the former instance, the certification scope will be geographically specific. In the latter instance, it is feasible that the geographic scope could be broad.

Using technical experts

One or more technical experts must be involved in an audit, unless the auditor has the technical expertise to review all activities subject to on-site evaluation.

As a member of the audit team, the technical expert should accompany the auditor when conducting audit activities, unless the auditor determines otherwise and ensures the technical expert is well briefed. The auditor may decide that the nature of the activities requires that the technical expert evaluates that activity alone, including at a different time.

Initial audits

All activities subject to on-site evaluation must be inspected by an auditor with technical expertise or by a technical expert. Inspection by a technical expert may occur in one of two ways:

i. Through participating in the on-site evaluation.

ii. Through providing advice about any activities not witnessed. (See 4.25 above)
Subsequent audits

29 Surveillance and recertification audits may involve technical experts advising remotely on particular activities or sites, that is, another on-site visit is not necessarily required. However, inspection by a technical expert is required if the operator wishes to add an activity that is not comparable to existing activities.

30 When it is appropriate to consult technical experts remotely:
   i. Appropriate details of the technical expert advice, including the reasons it was sought, will be recorded.
   ii. Such advice and circumstances will be referenced in the audit report and confirmed by the person who provided the advice, using a documented sign-off process.

Audit duration guidelines

31 It is mandatory to plan and record the audit duration using these guidelines, which provide a framework for a certification body to determine appropriate audit durations. The audit duration table guides audit providers and operators on the length of time that an audit should take. Each audit plan will take into account the specifics of the operator and the requirement to plan the audit to achieve the audit objectives.

Audit duration table

32 The following table is a starting point to guide certification bodies and operators on the length that certification and recertification audits may take in auditor days. Technical experts’ time may be additional. For other examples of factors that may affect audit duration, see Varying the audit duration.

<table>
<thead>
<tr>
<th>Activity groups</th>
<th>Stage 1</th>
<th>Stage 2</th>
<th>Reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Document review</td>
<td>Planning</td>
<td>On-site evaluation</td>
</tr>
<tr>
<td>1</td>
<td>0.5</td>
<td>0.25</td>
<td>1.0</td>
</tr>
<tr>
<td>2-4</td>
<td>0.75</td>
<td>0.5</td>
<td>1.5</td>
</tr>
<tr>
<td>5+</td>
<td>0.75</td>
<td>0.75</td>
<td>2.0</td>
</tr>
</tbody>
</table>

Notes

i. Activity groups include ‘groups’ of one activity as well as comparable activities – see Qualifications and Attestation.

ii. The guideline for on-site evaluation is at least 50% of the total time. It includes reasonable time spent briefing the operator. It is envisaged there will be variability in audit durations for stage 2.

iii. An auditor’s time spent reviewing an operator’s work on nonconformities identified during the audit is additional to the guidelines.
iv. The guideline may be used to determine audit duration for surveillance and special audits. However, audit duration of those audits should take into account time efficiencies that may exist in the possible limited scope, planning, and reporting requirements.

**Inspection of activities**

33 Estimates of audit duration require allowances to be made for inspecting the delivery of specific adventure activities. Inspection may include witnessing or participating in the delivery of adventure activities in part or in full, by either auditors or technical experts.

34 When a certification body conducts an audit in 25% more or less time than that indicated by the audit duration table, it will record the justification and make the record available to JAS-ANZ for review on request.

**Varying the audit duration**

35 Auditors will need to gather sufficient information from the operator and previous audits to schedule sufficient audit time and resources to enable them to gather sufficient evidence to support the objectives of the audit.

36 If the operator is certified to a recognised quality management or occupational health and safety standard other than the safety audit standard for adventure activities e.g. ISO 9001 or AS/NZ 4801, then the audit duration may be reduced to recognise the audit time efficiencies that should exist, although the certification body must be assured that the operator complies with the relevant safety audit standard.

37 Where a certification body, and in particular the audit team leader, is familiar with the operator’s existing delivery of adventure activities and has a high level of confidence in the likelihood of the operator's state of readiness for audit, the stage 1 and stage 2 audit processes may be scheduled concurrently.
Possible factors that may give reason for varying the audit duration are outlined in this table.

<table>
<thead>
<tr>
<th>Factor</th>
<th>Possible increased duration</th>
<th>Possible decreased duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>An operator’s profile</td>
<td>High risk</td>
<td>Low risk</td>
</tr>
<tr>
<td>The number and nature of sites</td>
<td>Many, dissimilar sites and not eligible for sampling</td>
<td>There are only few sites and they are similar in nature and eligible for sampling</td>
</tr>
<tr>
<td></td>
<td>Sample locations are not easily accessed</td>
<td>There is easy access e.g. base site only</td>
</tr>
<tr>
<td>Audit timing</td>
<td>All-year-around operation</td>
<td>A seasonal operation</td>
</tr>
<tr>
<td>Maturity of the operation and systems</td>
<td>New operations may require longer audits</td>
<td>Previous audits and technical expert reviews may build safety assurance</td>
</tr>
<tr>
<td></td>
<td>Operator is not well prepared for audit</td>
<td>Operator is well prepared for audit</td>
</tr>
<tr>
<td>Results of the document review</td>
<td>Auditor concerns or unknowns</td>
<td>A sound safety management system</td>
</tr>
<tr>
<td></td>
<td>The audit team needs to assign one or more technical experts</td>
<td>The operator’s technical expert advice is acceptable</td>
</tr>
<tr>
<td>Environmental conditions</td>
<td>Weather, water or terrain conditions make inspection laborious</td>
<td>Inspection is simple</td>
</tr>
<tr>
<td>Staff</td>
<td>There is high churn</td>
<td>There is low churn</td>
</tr>
<tr>
<td></td>
<td>Staff don’t hold nationally recognised qualifications</td>
<td>Staff hold qualifications, and work within the scope of those qualifications</td>
</tr>
<tr>
<td></td>
<td>Staff are not all available on the same day</td>
<td>Staff are all available on the same day</td>
</tr>
<tr>
<td>There are concerns regarding ongoing compliance</td>
<td>Concerns have arisen from surveillance activities e.g. incidents or complaints</td>
<td>No concerns have arisen from surveillance activities</td>
</tr>
<tr>
<td>Language used by the operator and participants</td>
<td>The audit could require translation services</td>
<td>The operation uses English only</td>
</tr>
</tbody>
</table>
4. Audit Process

39 The certification body may adopt reporting procedures that suit its needs. As a minimum, these procedures will ensure that audit reports contain:

i. Sufficient comments to demonstrate the means of determining conformity or nonconformity with the specified requirements for the operator and the adventure activities it provides.

ii. Positive as well as negative comments relating to the effectiveness of the operator’s safety management system and safe delivery of adventure activities, including clear statements of conformity or nonconformity.

iii. Any useful comparison with the results of previous audits of the operator (where applicable).

iv. An explanation of any differences from the information presented to the operator at the closing meeting.

v. Justification of any sampling of adventure activities or sites – see Sampling.

vi. Reference to what good practice information and/or professional judgement has been used in the formation of the audit findings and certification recommendations.

vii. A summary of the audit findings.

viii. An audit conclusion on the nature and extent of compliance of an operator’s delivery of adventure activities with the relevant safety audit standards.

ix. A recommended certification decision, including a period of validity and any conditions.

40 An audit report may report opportunities for improvement as identified by the auditor. There is no requirement for an operator to implement an opportunity for improvement.

41 An audit report must cover only those adventure activities as defined in regulation 4 of the Health and Safety at Work (Adventure Activities) Regulations 2016.

42 The certification body will report all nonconformities (closed and outstanding) in its audit report. Where a major or minor nonconformity has not been resolved within six months of completing the initial audit, the certification body will conduct a new audit in full.

Reporting requirements

43 Auditors are required to immediately notify WorkSafe, potentially while still on-site, if they identify during the audit an immediate risk of a notifiable event occurring; and provide written information relating to the matter within 5 working days of being requested by WorkSafe.

44 Certification bodies are required to immediately notify WorkSafe, potentially while still on-site, of their decision to fail an audit where there are nonconformities; and submit the audit report within 5 working days.
Certification bodies will work to the following timelines.

<table>
<thead>
<tr>
<th>Document</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft report and any schedule of nonconformities sent to the operator</td>
<td>Within 10 working days of the audit</td>
</tr>
<tr>
<td>Final report where the operator has failed the audit based on major nonconformity(s) sent to the operator and the registrar</td>
<td>Within five working days of the decision to fail</td>
</tr>
<tr>
<td>Final report where the operator has failed the audit based on minor nonconformity(s) sent to the operator and the registrar</td>
<td>Within 10 working days of the decision to fail</td>
</tr>
<tr>
<td>Final report sent to the operator</td>
<td>Within 10 working days of receiving resolved response from the operator regarding the draft report and any nonconformities</td>
</tr>
<tr>
<td>Certification decision and issue any safety certificate</td>
<td>Within five working days of completing the final report</td>
</tr>
<tr>
<td>Provision of certification decision and audit report to the registrar</td>
<td>This should be concurrent with the issue of the certificate</td>
</tr>
</tbody>
</table>
Nonconformities

46 Nonconformities will be classified as major and minor nonconformities (see ISO/IEC 17021-1 clauses 3.11 to 3.13).

<table>
<thead>
<tr>
<th>Major nonconformity examples</th>
<th>Consequence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 A nonconformity matter directly affecting the:</td>
<td>All major nonconformities must be resolved or downgraded to a minor nonconformity before a safety certificate can be issued.</td>
</tr>
<tr>
<td>a) standard operating procedures for managing the serious risks, hazards and operating conditions, including the selection and briefing of participants, or</td>
<td>The certification body will provide the operator with an opportunity to implement corrective and preventive actions of major nonconformities to the certification body’s satisfaction; except where a decision has been made to automatically fail the operator. The time allowed will be consistent with the degree of risk arising from the nonconformity (notwithstanding the six-month limitation for the operator to address identified nonconformity(s), as per paragraph 42 above).</td>
</tr>
<tr>
<td>b) competence, resourcing, and practices of the staff undertaking an adventure activity.</td>
<td></td>
</tr>
<tr>
<td>2 A nonconforming matter involving significant deficiencies in the:</td>
<td></td>
</tr>
<tr>
<td>a) policy and methods for monitoring and responding to drug and alcohol hazards, or</td>
<td></td>
</tr>
<tr>
<td>b) emergency response plans.</td>
<td></td>
</tr>
<tr>
<td>3 A series of minor nonconformities.</td>
<td></td>
</tr>
<tr>
<td>4 Any other nonconformity that, in the view of the audit team, creates an unacceptable level of risk in the operator’s delivery of adventure activities.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Minor nonconformity</th>
<th>Consequence</th>
</tr>
</thead>
<tbody>
<tr>
<td>A nonconforming matter that is not a major nonconformity, including leadership, policy, and process matters that do not immediately affect the management of the serious risks, hazards and operating conditions involved in an adventure activity.</td>
<td>The certification body will provide the operator with an opportunity to resolve minor nonconformities, except where a decision has been made to automatically fail the operator. The time allowed for resolution will be proportionate to the degree of risk arising from the nonconformity and the extent of corrective actions required.</td>
</tr>
<tr>
<td>Note: A certification body may issue a certificate despite the existence of minor nonconformities provided the certification body has accepted the operator’s proposed corrective action plan and timetable, and has agreed the method by which completion of the actions will be verified.</td>
<td></td>
</tr>
</tbody>
</table>
5 Certification

Granting certification

1 The certification body will not make a certification decision unless it is satisfied that:
   i. The operator is providing an adventure activity as defined in regulation 4.
   ii. The operator is providing all relevant information to the certification body.
   iii. The operator’s safety management system is capable (in design and implementation) of delivering adventure activities to participants in conformance with good practice.

2 Within five working days of completing the final report, the certification body must:
   i. send the final report and certificate to the operator; or
   ii. send the final report to the operator and written notice of the decision to fail the operator; and
   iii. send a copy of either the certificate or written notice, along with the audit report, to WorkSafe.

Certification period

3 The validity period for a safety certificate will not exceed three years – regulation 6(3)(a)(ii).
   Unless the operator requests a shorter validity period, the validity period is determined by the certification body based on an assessment as to what is sufficient to manage the integrity of the certificate and to promote safety in accordance with the safety audit standards. A certificate may be issued for three years provided that the certification body is satisfied that any surveillance audits and other conditions the certificate is subject to, as detailed in Conditions paragraph 6, are sufficient.

4 The certification body will hold records justifying the reason for the validity period and must inform the operator of these reasons.

Conditions

5 The certification body will issue a certificate subject to any conditions it considers are required to maintain the safety of the adventure activities, and that are consistent with the relevant safety audit standards.

6 Any conditions will take account of and be proportionate to the operator’s circumstances, certification scope, and audit findings. Such conditions may include:
   i. Surveillance audits.
   ii. Specified actions required of the operator that must be completed to the certification body’s satisfaction by a specified date, e.g. requiring the operator to involve an external technical expert to review and report on an adventure activity.
   iii. Subjecting the use of unfamiliar locations to prior review by a technical expert.
Issuing certificates

7 Where the certification body decides to grant certification, it will:
   i. Issue a safety certificate to the operator that specifies the scope of the certificate in terms of:
      ▪ The adventure activity/ies to which the certificate applies. The certification body should refer to the list of adventure activities on the WorkSafe website or otherwise ask WorkSafe for information on how to describe the adventure activity. This is to ensure consistency in language across all certificates.
      ▪ The location or locations of the sites where the activities are provided and to which the certificate applies.
         Note: Location descriptions should be as specific as is reasonably practicable so as to adequately inform the end users.
      ▪ The period for which the safety certificate is valid, including the expiry date.
      ▪ Any conditions that the certification body considers are required to maintain the safety of the adventure activity – see Conditions.
   ii. Use WorkSafe’s online adventure activity audit form to promptly inform the registrar of the decision to issue a safety certificate to the operator by submitting the required information, including a copy of the safety certificate and audit report.
   iii. Have a policy governing any mark it authorises its certified operators to use that will ensure traceability back to the certification body. There will be no ambiguity in the mark or the accompanying text as to what was certified and which certification body issued the certificate.
   iv. Make available to WorkSafe on request any other information needed to register the operator or which, in accordance with the certification body’s function under regulation 10(f) of the Regulations, may constitute grounds for the Registrar to make a decision on the matter.

Changes affecting certification

8 Changes initiated by the operator that the certification body will need to respond to include:
   i. A new activity that is not in the scope of its certificate.
   ii. A new location for an activity that is in the scope of its certificate.
   iii. A change of PCBU identity (e.g. sale or merger of businesses, change of registered business name).
**Withdrawing or suspending certification**

9 In reference to ISO/IEC 17021-1 Clause 9.6.5.1 the certification body policy and documented procedures shall also consider suspension, withdrawal or reduction in scope of certification following:

i. The outcome of a review by the certification body of the operator’s incident reports, their significance and any subsequent corrective actions.

ii. Non-adherence of the operator to the relevant safety audit standard(s) as may, for example, be evidenced by the nature and classification of any nonconformity and the operator’s performance in resolving that nonconformity within the timeframes agreed with the certification body.

iii. Failure of the operator to adhere to the conditions of certification including failure to rectify any nonconformity, or to comply with surveillance requirements (including provision of a compliant declaration of conformity).

10 Before suspending or withdrawing a safety certificate, the certification body will give the operator an opportunity to be heard on the matter and notify WorkSafe of its concerns.

11 The certification body will, if suspending or withdrawing a safety certificate, give written notice to the operator outlining:

i. that the safety certificate has been suspended or withdrawn.

ii. any period of suspension.

iii. the reasons for the suspension or withdrawal.

iv. the consequences of the written notice.

12 The certification body will determine and document the required process, including any additional audit requirements, to resolve a suspended certification.

13 Within five working days, the certification body will advise the registrar of any withdrawal, suspension or changes to certification, along with reasons for that decision.
Recertification

14 A recertification application will be evaluated as if it were an application for new certification.

15 The certification body will:
   i. Plan and conduct recertification audits in accordance with ISO/IEC 17021-1.
   ii. Review all relevant conditions of the expiring safety certificate.
   iii. The certification body’s knowledge of the applicant’s operation may increase or reduce the audit duration.

16 The recertification audit duration will be calculated using the audit duration table and an up-to-date operator’s profile – see Appendix C.

Guidance notes:

1. For the recertification audit, the determination of site and activity sampling plans and audit team competencies will need to consider:
   i. ensuring audit coverage of sites and activities during the certification cycle with cognisance to risk and priority
   ii. the involvement of technical expert(s) in previous audits and the currency and relevance of findings to the recertification audit
   iii. whether a technical expert is required on the recertification audit team, and if so, whether that participation is on-site or remote.

2. A certification body would normally require a technical expert on the recertification audit team where the operator has fulfilled surveillance audit obligations solely via the Declaration of Conformity mechanism.

3. A document review is required for recertification audits. The certification body may elect to perform this wholly or in part, onsite or offsite.
6 Monitoring Operators

1 ISO/IEC 17021-1 uses the term surveillance for all monitoring activities between certification audits. The certification body will document and justify its surveillance programme for each operator.

2 The approach to surveillance under the scheme is based on a requirement to:
   i. Monitor, review and appropriately respond to any conditions on certification and ensure ongoing compliance with the safety audit standard.
   ii. Respond to concerns about the safety performance of an operator raised by WorkSafe or any other person.

   Note: An appropriate response may include no further action, requesting an internal investigation report, being informed by any external investigation, or a special audit.

3 It is the certification body’s decision what surveillance activities are appropriate in context of the validity period for certification and the operator’s safety performance in compliance with the Safety Audit Standards. The certification body’s procedures will define the types of surveillance activities and special audits that may be undertaken and the criteria for selecting and applying them, including their frequency. The certification body will justify and document its surveillance programme for each operator. The types of surveillance and responsive activities include the following.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Overview</th>
</tr>
</thead>
<tbody>
<tr>
<td>Condition</td>
<td>A requirement of granting certification – see Conditions</td>
</tr>
<tr>
<td>Surveillance audit</td>
<td>A form of condition – an additional audit planned at the time of the certification audit and subsequent surveillance audit, depending on the conditions of certification, based on an assessment of the operator’s safety performance and what is necessary to manage risk, ensure compliance with the safety audit standards and ensure resolution of any conditions on certification – see Surveillance audit.</td>
</tr>
<tr>
<td>Declaration of conformity</td>
<td>The operator’s confirmation that they are conforming with the audit standard and any conditions on certification – see the Appendix D: Declaration of Conformity and the Operator’s declaration form (Appendix D)</td>
</tr>
<tr>
<td>Special audit</td>
<td>An audit organised during the certification cycle based on a change of circumstances.</td>
</tr>
</tbody>
</table>
4 The validity period of certification shall not exceed three years. The certification body must consider the safety performance of the operator and what type of surveillance is appropriate to manage risk between audits.

It may be considered appropriate to conduct a surveillance audit in the year following certification and for a new assessment to be made during this surveillance audit. This subsequent assessment may result in a decision that a further surveillance audit is required the following year or the operator’s safety performance can be managed through a declaration of conformity. The maximum period between surveillance activities is generally 12 months of initial certification and thereafter no less frequently than 12 monthly. To afford flexibility in audit scheduling, the certification body may conduct the on-site 12 monthly surveillance audit within 60 days either side of the due date; Declarations of Conformity are due within 30 days of its certification anniversary.

5 The certification body will maintain certification based on the operator demonstrating through the surveillance programme that they continue to meet the requirements of the safety audit standard.

6 The certification body will assign personnel to conduct surveillance audits and monitor an operator’s surveillance programme, including the declarations of conformity, reporting by auditors, and advice from WorkSafe, to confirm that the operator’s delivery of adventure activities continues to comply with the safety audit standard.

7 For major nonconformities, or other situations that may lead to termination, reduction of scope, suspension or withdrawal of certification, the certification body will have a process, including the assignment of personnel, to evaluate whether certification can be maintained. The people assigned to make the final decisions will not have been involved in the evaluations that identified the major nonconformities.

**Surveillance audit**

8 At the time of certification, it is likely that the certification body will plan for a surveillance audit to occur at a later date.

9 The duration of a surveillance audit will be based on the objectives of the audit, any updated information received, the estimated duration to gather objective evidence, pre-audit planning, and post-audit reporting.

10 When planning surveillance audits (and special audits), the certification body will consider the need and opportunity to verify safety audit standard topics that have been weaknesses in the sector – see Audit scope.

**Potential triggers**

11 In scheduling a surveillance audit, the certification body will be guided by factors such as:
   i. Whether it is necessary to review an operator’s resolution of any nonconformities
   ii. An assessment of the operator’s safety performance and compliance with the safety audit standard
iii. Where an on-site evaluation of an adventure activity could not be evaluated at the time of audit due to its unavailability

iv. Where there are multiple adventure activities and/or sites for which the certification body needs to ascertain on-going compliance with the safety audit standard.

Note: The certification body may increase or decrease the frequency and nature of surveillance audits during the period of certification in consultation with the operator.

Declaration of conformity

12 Where a surveillance audit is not to be conducted within 12 months from the date of the initial audit and/or subsequent surveillance audit, the certification body must make it a condition on certification that the operator submit a declaration of conformity within 30 days of its safety certificate anniversary, except for the month when the certificate expires – see the **Operator’s declaration** form (Appendix D). The operator is declaring that they continue to conform to the safety audit standard and any other conditions on certification.

13 If an operator fails to suitably complete and submit the declaration of conformity, then the certification body will implement termination, reduction of scope, suspension or withdrawal of certification actions – see **Changes affecting certification**.

Special audit

14 A special audit is an audit organised during the certification cycle, that is, it is in response to a change of circumstance during the period of certification. It could be in response to:

   i. The operator providing a new adventure activity.

   ii. Significant changes to the operator’s ownership, top leadership, key staff, operations, sites, or safety management system, or the knowledge that significant change is pending.

   iii. Actual or potential major nonconformities indicated through a declaration of conformity.

   iv. Notifiable events.

   v. A request from an operator following an incident or safety concern.

   vi. Concerns raised about the safety performance of an operator raised by WorkSafe or any other person.

   vii. Advice that there are safety issues associated with the operator, or with a type of or specific adventure activity across all operators providing that activity.

   viii. Other concerns about an operator’s safety performance e.g. complaints.

15 Before responding to an incident or concern, the certification body will consult with WorkSafe to ensure coordination with any investigation or other regulatory activity.
Appendices
Appendix A: Auditor’s Code of Conduct

A certification body will require its auditors to agree to a code of conduct that incorporates the following points:

1. Act professionally and report findings in a consistent and unbiased manner e.g. not communicate false, erroneous, or misleading information that may compromise the integrity of the audit.

2. Act in accordance with the New Zealand Adventure Activities Certification Scheme requirements and guidelines.

3. Discuss or disclose any information relating to an audit outside the scheme only when required by law, or when authorised by the client.

4. Only provide audit services which are within their scope of competence and to correctly represent their own, or any other individual’s qualifications, competence, or experience.

5. Disclose to the certification body any current or prior working or personal relationships that may be seen as an actual or perceived conflict of interest or that may influence their judgement.

6. Not enter into any activity that may conflict with the best interests of JAS-ANZ or the certification body, or that would prevent the auditor performing their duties objectively.

7. Adhere to the requirements of the Health and Safety at Work Act 2015, the Health and Safety at Work (Adventure Activities) Regulations 2016, and all other relevant legislation, regulations, guidelines, codes, and good practice standards.

8. Not promote or represent any business interest, or any entity with which they have an interest or may have an interest, while conducting audits.

9. Not accept any inducement, commission, gift, or any other benefit from any interested party while conducting audits.

10. Not act in any way that would prejudice the reputation of WorkSafe, JAS-ANZ, or the certification body.

11. Cooperate fully with any inquiry in the event of a complaint about their performance as an auditor, or any alleged breach of this code.

12. Accept that operators have the freedom to select and change their certification body, and not to place any undue influence on operators when they are making a decision in this respect.

13. Refrain from making any adverse comments on WorkSafe or on any auditors or certification body, including JAS-ANZ assessors.

14. Respect adventure activity participant and staff rights during the course of an audit.
### Appendix B: Audit Personnel Register

**Example**

<table>
<thead>
<tr>
<th>Role</th>
<th>Trainee</th>
<th>Auditor</th>
<th>Technical expert</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity qualifications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity attestation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auditing or technical expert scope</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scheme audits this calendar year</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Witnessed audit</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance review</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix C: Operator’s Profile

Operator to complete for each audit

The purpose of this profile is to enable the certification body to estimate the time and cost involved, aid audit planning, and identify the type of operation. This is the minimum content required. It could be presented differently.

 Operator | AAO number (from WorkSafe) | Date
--- | --- | ---

Base address

1. General audit duration factors  
   See Varying the audit duration.

<table>
<thead>
<tr>
<th>Factor</th>
<th>Operator’s response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outline the type (e.g. camp) and size of the operation (e.g. sole operator, small business, large business)</td>
<td></td>
</tr>
<tr>
<td>What is the number and nature of the adventure activities?</td>
<td></td>
</tr>
<tr>
<td>What other activities do you provide (activities not subject to the Adventure Activities Regulations)?</td>
<td></td>
</tr>
<tr>
<td>What is the number and nature of the activity sites?</td>
<td></td>
</tr>
<tr>
<td>Which activities occur all year round?</td>
<td></td>
</tr>
<tr>
<td>Which activities occur seasonally?</td>
<td></td>
</tr>
<tr>
<td>Is it a new or established operation?</td>
<td></td>
</tr>
<tr>
<td>Factor</td>
<td>Operator’s response</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>Are staff mainly new or established?</td>
<td></td>
</tr>
<tr>
<td>What language is used by the operator and the participants?</td>
<td></td>
</tr>
<tr>
<td>How well prepared is your operation for a safety audit?</td>
<td></td>
</tr>
<tr>
<td>What else should the certification body know to plan for the audit?</td>
<td></td>
</tr>
<tr>
<td>This may include any previous safety history e.g. serious harm incidents and enforcement history.</td>
<td></td>
</tr>
</tbody>
</table>

2. Site and activity profile

<table>
<thead>
<tr>
<th>Activity site</th>
<th>Adventure activities provided</th>
<th>Typical participant # per group</th>
<th>Typical participant experience level&lt;sup&gt;1&lt;/sup&gt;</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<sup>1</sup> Novice, intermediate, or advanced
3. Operator’s staff profile

Please include managers, coordinators, and trainers.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Outdoor activity qualifications</th>
<th>Employment status¹</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Permanent staff all year</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Returning seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ New seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Permanent staff all year</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Returning seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ New seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Permanent staff all year</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Returning seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ New seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Permanent staff all year</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Returning seasonal staff</td>
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<td>☐ New seasonal staff</td>
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<td>☐ Permanent staff all year</td>
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<td>☐ Returning seasonal staff</td>
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<td></td>
<td>☐ New seasonal staff</td>
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<td></td>
<td></td>
<td>☐ Permanent staff all year</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>☐ Returning seasonal staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>☐ New seasonal staff</td>
</tr>
</tbody>
</table>

¹ Note: Staff includes employees, contractors, and volunteers.
Appendix D: Declaration of Conformity

An operator will submit the declaration of conformity to its certification body within 30 days of the safety certificate anniversary, except for the month a surveillance audit is conducted or when the certificate expires. The operator will conduct regular reviews with sufficient scope and depth to verify that it is conforming to certification requirements before submitting the declaration. The requirements are outlined below, although a certification body may use its own form. The certification body will make the associated records available to JAS-ANZ on request.

The certification body will assess the declaration to determine the likelihood of ongoing compliance with the certification. This may prompt further discussions before the certification body can verify the likelihood of compliance.

Where an operator does not submit the declaration, or significant concerns are identified, the certification body will, following discussion with the operator:

- Implement a special audit, or terminate, withdraw, reduce scope, or suspend the certificate as in ISO17021-1, clause 9.6.5.
- Provide reasons for their decision.

The certification body will retain the declarations as part of the monitoring activities.

Operator’s declaration

For each question, indicate whether it applies to the adventure activities you provide.

<table>
<thead>
<tr>
<th>Requirement</th>
<th>No</th>
<th>Yes</th>
<th>Attachment Yes / No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Have there been changes in the ownership of the adventure activity operator?</td>
<td></td>
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<tr>
<td>If so, attach the details of the ownership changes and their effects on the continued effectiveness of the safety management system.</td>
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<tr>
<td>2 Have there been any significant changes to the adventure activities, including sites, key staff, plant and equipment, in the past 12 months?</td>
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<tr>
<td>If so, attach a description of changes.</td>
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<tr>
<td>3 Have there been any significant changes to the safety management system in the past 12 months?</td>
<td></td>
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<tr>
<td>If so, attach a summary of the changes.</td>
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<td></td>
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<tr>
<td>4 Have staffing levels and competence been consistently met in accordance with the safety management system?</td>
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<tr>
<td>If not, attach a summary of variances.</td>
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<tr>
<td>5 Has a technical expert provided advice on an adventure activity in the past 12 months?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Requirement</td>
<td>No</td>
<td>Yes</td>
<td>Attachment Yes / No</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------------</td>
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<tr>
<td>If so, attach a summary of the advice.</td>
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<tr>
<td>6 Has a review of relevant good practice (e.g. WorkSafe</td>
<td></td>
<td></td>
<td>Not applicable</td>
</tr>
<tr>
<td>and SupportAdventure websites) been done?</td>
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<tr>
<td>7 Have the continual improvement requirements of the Safety Audit Standard</td>
<td></td>
<td></td>
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<tr>
<td>been met in the last 12 months?</td>
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<tr>
<td>Attach the internal review record, including a summary of findings and</td>
<td></td>
<td></td>
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<tr>
<td>actions taken to resolve any nonconformities.</td>
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<tr>
<td>8 Has the incident register been maintained and actions taken to prevent</td>
<td></td>
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<td></td>
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<tr>
<td>reoccurrence of an incident?</td>
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<tr>
<td>Attach a summary of the incident register.</td>
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<tr>
<td>Note: Providing this information is not a substitute for other statutory</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>or regulatory reporting requirements.</td>
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<tr>
<td>9 Have there been, or is there likely to be, compliance matters relevant to</td>
<td></td>
<td></td>
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<tr>
<td>the past 12-month performance or future effectiveness of the safety</td>
<td></td>
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<tr>
<td>management system?</td>
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<tr>
<td>Attach details of compliance matters.</td>
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</tr>
</tbody>
</table>

........................................................................................................................................

Print name .................................................................................................................. Date
........................................................................................................................................

Signature......................................................................................................................... I declare that the above information and the attachments are accurate

The person making this declaration is the operator, or has the delegated authority to do so on behalf of the operator.

Organisation ....................................................................................................................... Phone number ..................................................................................................................... Email address .....................................................................................................................