

## **Roles and responsibilities of SafePlus partners and users**

For SafePlus to be effective and provide the most benefit to businesses, it is important that parties' roles are clearly understood. Key roles and responsibilities are described below.

### **ROLES AND RESPONSIBILITIES OF GOVERNMENT (through WorkSafe and ACC)**

WorkSafe New Zealand, ACC, and MBIE led the development of SafePlus – including the Onsite Assessment and Advisory Service. WorkSafe, with ACC's support, will also design, build and launch by mid 2018 an Online Self-Assessment tool using the SafePlus technical content.

Government agencies will not deliver any of the market-led Onsite Assessments and Advisory Services to businesses. These will be delivered by private sector SafePlus Accredited Assessors. Likewise, the Crown will not endorse any performance judgements made by the SafePlus Accredited Assessors, or the results of any assessment. Assessments are confidential between the business and their SafePlus Accredited Assessors.

The key roles and responsibilities of government agencies are led by WorkSafe and include:

#### **SafePlus framework and branding**

- Owning the SafePlus brand, supporting collateral and guidance material (intellectual property).
- Keeping the SafePlus resources and guides updated and consistent with developments in good health and safety practice (this includes technical content for the Onsite Assessment and Advisory Service and the Online Self-Assessment tool)
- Providing free access to SafePlus resources via the SafePlus website
- Maintaining a dedicated SafePlus website (hosted by WorkSafe)
- Engaging with sector stakeholders about SafePlus
- Promoting and endorsing SafePlus to the wider New Zealand business community and Government agencies and encouraging its uptake and ongoing use
- Producing guidance and advice to the sector as a result of key performance trends and issues
- Monitoring and evaluating the effectiveness of the SafePlus initiatives
- Providing advice and support to other parties to ensure a co-ordinated approach (eg. the Accreditation Body, assessor training provider, and online tool host).

#### **Onsite Assessment and Advisory Service**

- Providing templates and resources to be used in the delivery of SafePlus such as report templates for the SafePlus Onsite Assessment and Advisory Service. While there is scope to customise these templates (eg. Assessors adding their own logos) their purpose is to ensure national consistency and that all key components of a SafePlus assessment are included in assessment reports and advice that is provided to businesses
- Developing and maintaining the Competency Specification for SafePlus Accredited Assessors. The Specification sets out the core competencies that assessors must have in order to become accredited
- Appointing an independent Accreditation Body to undertake competency assessments of individuals wanting to provide SafePlus Onsite Assessment and Advisory Services
- Reviewing the Accreditation Body's performance against service levels/targets

- Appointing a training provider to deliver training for Assessors. Assessor candidates must attend and pass the training course in order to get successfully accredited by the Accreditation Body
- Keeping a list of Accredited SafePlus Assessors (as advised by the Accreditation Body) and publishing this on the SafePlus website
- Undertaking research into performance trends the use of the Onsite Assessment and Advisory Service
- Customising Onsite Assessment and Advisory Service resources and guidance to cater for different business demographics or high-risk industry sectors.

### **Online Self-Assessment tool**

- Developing a free Online Self-Assessment tool that businesses can use to undertake their own self-assessments against the SafePlus performance requirements, and receive guidance and advice on what to do to improve their performance. A third-party provider will ultimately host the online tool
- Maintaining the content (question sets, guidance material) for the online tool
- Customising the initial Online Self-Assessment tool to cater for different business demographics or high-risk industry sectors
- Sharing information from the use of the Online Self-Assessment tool with the sector. For example, aggregated and anonymised trend information or key performance issues facing businesses.

## **ROLES AND RESPONSIBILITIES OF THE SAFEPLUS ACCREDITATION BODY**

The Accreditation Body is responsible for undertaking competency assessments of candidates applying to become SafePlus Accredited Assessors. Candidates who have the required skills and experience, meet the specified competencies, pass the mandatory training, and pay the assessment fee, will be accredited as SafePlus Assessors.

The key roles and responsibilities of the Accreditation Body include:

- Providing assessor applicants with clear information to explain the accreditation process, and responding to any queries about the accreditation process
- Receiving and processing applications from applicants wanting to become SafePlus Accredited Assessors
- Undertaking competency assessments of applicants (including an initial desk-based screening of the application and a face-to-face assessment interview process for those who pass the initial vet)
- Liaising and co-ordinating with the assessor training provider to check that assessor candidates have successfully completed their training
- Deciding whether (or not) to accredit applicants based on their competency assessment and completion of any assessor training requirements
- Operating a system to re-evaluate Accredited Assessors competence every three years, and undertaking the re-assessments. The re-assessment process will focus on what the assessor has done to maintain their competence in the preceding three years (eg. continuing professional development, undertaking SafePlus assessments, etc)
- Advising WorkSafe when new assessors are accredited, or when existing assessors are successfully re-accredited, and when assessors accreditation status has lapsed (eg. they cease to practice or do not meet their re-evaluation assessments). This will enable WorkSafe (for the SafePlus startup phase) to maintain an accurate register of Accredited SafePlus Assessors
- Maintaining a process to manage complaints or appeals from applicants who do not get accredited or from businesses concerned with the competence of their SafePlus Accredited Assessor

- Maintaining a robust, confidential and secure information management system for information provided during the accreditation process
- Communicating and co-ordinating with WorkSafe and Accredited Assessors regarding developments, as is required
- Consulting with the SafePlus programme on the branding and any content changes to the accreditation application pack.

### **Relevant guidance**

- Assessor Competency Specification
- Accreditation process steps
- Assessors Guide to Onsite Assessments
- Assessor templates, tools and resources
- Application pack
- SafePlus Brand Guide for third party use

## **ROLES AND RESPONSIBILITIES OF SAFEPLUS ACCREDITED ASSESSORS**

The key role of a SafePlus Accredited Assessor is to provide Onsite Assessment and Advisory Services to businesses that commission such services. Assessments must be led by an Accredited Assessor, but can also involve other supporting Accredited Assessors or other subject matter technical experts as part of an assessment team. Both the lead and supporting Accredited Assessors are required to be a SafePlus Accredited Assessor, but not any technical or specialist subject matter experts.

SafePlus Accredited Assessors are from the private sector. Their key roles and responsibilities include:

- Applying for accreditation, and getting successfully accredited as a SafePlus Accredited Assessor. This includes:
  - demonstrating that they have the necessary skills and experience
  - undergoing a competency assessment by the Accreditation Body
  - undertaking and passing the mandatory assessor training course
  - being a member of a HASANZ affiliated and graded association
  - paying the training and accreditation fees.
- Getting re-evaluated every 36 months by the Accreditation Body to ensure that they maintain their competency to use the SafePlus Onsite Assessment and Advisory Service
- Being familiar with the SafePlus assessment and advisory service and its supporting resources, guidance and supporting collateral (such as templates for reports)
- Explaining to prospective clients what a SafePlus Onsite Assessment involves. It is important that Accredited Assessors and businesses discuss and agree the nature of the proposed assessment, its scope and key health and safety risks to be considered, and the people to be involved. Costs should be discussed and agreed with the client business prior to engagement or as part of a scoping exercise of an assessment
- Working within their areas of competence and in sectors where they have experience. As part of their planning for each assessment, Accredited Assessors will need to consider whether they have the necessary skills and experience for each specific assessment, or whether they need to involve one or more supporting assessors as subject matter expert or in peer review roles or other technical subject matter experts who are not required to be SafePlus Accredited Assessors. In most cases a small team approach will usually be necessary to ensure a quality assessment. This ensures all the necessary skills and expertise are present, ensure the capacity for assessments of larger businesses or across multiple sites, and incorporate appropriate quality assurance (eg. peer review).
- Ensuring that any supporting assessor or subject matter experts involved in any onsite assessment understand their roles and responsibilities

- Undertaking SafePlus onsite assessments by correctly using the SafePlus Onsite Assessment tool, supporting resources, and guidance. This includes being able to successfully:
  - Assess businesses against the SafePlus Performance Requirements (and their performance levels) and identify their strengths and weaknesses
  - Make performance judgements against the Performance Requirements and recommend an overall outcome for the assessment using the scoring system provided
  - Employ a diagnostic and evaluative assessment approach when using the tool and complying with the assessment approach as defined in the Assessor Guide
  - Make practical performance improvement recommendations to businesses
  - Provide good practice guidance and advice to businesses on how they can implement the performance recommendations.
  - Use the SafePlus assessment report template to help ensure national consistency.
- Producing reports for their clients that explain their findings, recommendations, and providing tailored and relevant guidance and advice. Assessors should use the SafePlus assessment report templates developed by WorkSafe to ensure consistency of required information across assessments
- Complying with the SafePlus Brand Guide for SafePlus reports, including how the SafePlus logo can or cannot be used by Assessors
- Not using Crown logos or branding on Assessment Reports. While WorkSafe, ACC, and MBIE branding is included on the core SafePlus tools and resources, these should not be added to any Assessor's Assessment Reports (or other communications) provided to their client businesses
- Ensuring that their reports do not express or imply that the Crown in any way endorses or supports the performance findings, recommendations, and advice contained in specific assessment reports. This is a commercial transaction between the Assessor and the business concerned. The Crown has no involvement in or visibility of SafePlus Onsite Assessment and Advisory Services for specific businesses
- Promoting and referring businesses to the Online Self-Assessment tool (when it is available). In many cases a business undertaking its own self-assessment using the free online tool will be a helpful first step before it engages a SafePlus Accredited Assessor to provide Onsite Assessment and Advisory Services. This will help businesses to prepare for and get the best value out of the Onsite Assessments and Advisory Service. It will make assessments more efficient for Assessors because businesses will already be familiar with the SafePlus requirements and have a view of where to best focus their services.

If an Accredited Assessor involves additional health and safety practitioners or other technical experts in a SafePlus Onsite Assessment and Advisory Service, some of the points above will also be relevant to these people. While such supporting team members do not have to be accredited, it is important that they understand how to use SafePlus tools and their supporting resources, can apply the SafePlus assessment methodology in relation to their role in each assessment, and are aware how their role interlinks with other parties' roles. They also need to understand any obligations around use of SafePlus reports and branding etc.

### **Relevant guidance**

- SafePlus Performance Requirements (including questions by role)
- Assessor Competency Specification
- Assessors Guide to Onsite Assessments
- Accreditation process steps
- SafePlus Brand Guide for third party use
- Register of SafePlus Accredited Assessors

## ROLES AND RESPONSIBILITIES OF SAFEPLUS TRAINING PROVIDER

The Training provider will run training courses for candidates who have applied to become SafePlus Accredited Assessors. The training provider:

- Delivers SafePlus training courses to assessor candidates. The training course covers how to undertake SafePlus assessments and includes a test that candidates have to pass in order to be accredited by the Accreditation Body
- Liaises and co-ordinates with the Accreditation Body to confirm when assessor candidates have successfully completed their training.

## ROLES AND RESPONSIBILITIES OF BUSINESSES USING SAFEPLUS

The key roles and responsibilities of businesses who use SafePlus include:

- (If they choose to) using the free SafePlus guidance and resources to support their own health and safety assessment
- (If they choose to) using the free Online Self-Assessment tool (available mid 2018) to do a self-assessment of their organisation's health and safety performance. This will provide free guidance and advice on how to improve
- Identifying and choosing a SafePlus Accredited Assessor if they want to undertake an independent SafePlus on-site assessment of their health and safety performance. To assist businesses to find a suitable SafePlus Accredited Assessor a register will be published on SafePlus' website
- Commissioning a SafePlus Accredited Assessor. It is important to agree with the Accredited Assessor the scope of the assessment, the key health and safety risks to be considered, the people to be involved, and cost for the assessment
- Working and collaborating with their Accredited Assessor to undertake the SafePlus Onsite Assessment and Advisory Service. It is important to ensure that all levels of the business can participate in the assessment (governance, senior managers, line managers, workers, contractors, etc)
- Considering and implementing the performance improvement recommendations and advice provided in their Assessor's report
- Considering a reassessment using the SafePlus tool at an appropriate future date (this will help gauge performance improvements). Approximately two-yearly re-assessments are recommended
- Contributing (on a voluntary basis) to research commissioned by WorkSafe to gather aggregated and anonymised data from the use of the SafePlus Online Self-Assessment tool. The purpose of this research will be to identify performance trends across New Zealand businesses. This will enable WorkSafe and ACC to develop guidance and advice to the sector and to keep the SafePlus tool current and relevant for New Zealand businesses
- Complying with the SafePlus Brand Guide on the appropriate use of the SafePlus logo and branding. This explains when and how the SafePlus logo and branding can be used (eg, on businesses' own promotional material), and when it should not be used
- Not using Crown logos or branding in their own promotional material or communications. While WorkSafe, ACC, and MBIE logos and branding is included on the core SafePlus tools and resources, these should not be added to any promotional or communications material developed by the business. Businesses that have undergone SafePlus assessments cannot express or imply that the Crown in any way endorses or supports the findings, recommendations, and advice provided to the business by the Accredited Assessor during the assessment. Assessments are commercial transactions between business and their Accredited Assessors. The Crown has no involvement in specific SafePlus assessments.

### Relevant guidance

- A Guide for Businesses - Onsite Assessments and Advisory Service
- SafePlus Performance Requirements
- Questions sets for different roles in the business
- Register of SafePlus Accredited Assessors