

Questions and Answers for Assessors

These Q&As are for SafePlus Accredited Assessors, or those interested in becoming a SafePlus Accredited Assessor.

Some of these questions were raised by Assessor candidates during the training courses undertaken as part of the accreditation process.

Private sector SafePlus Accredited Assessors will have a key role delivering SafePlus Onsite Assessment and Advisory Services.

The Q&As are grouped under the following topics:

Getting accredited	2
The Assessor role	4
Your initial conversations and planning with businesses	5
Scope of assessments	6
The Assessment Team	10
Performance illustration	11
SafePlus resources and collateral	12
Use of SafePlus branding	14
Complaints	15
Other issues	16

Getting accredited

Why should I get accredited as a SafePlus Assessor?

SafePlus is a commercial opportunity for health and safety professionals. If you get accredited, you will be able to offer your services to the market as a SafePlus Accredited Assessor. Businesses will be able to commission you to use SafePlus to provide onsite assessments of their health and safety performance and to provide them with best practice guidance and tailored advice on how to improve their health and safety performance. All SafePlus onsite assessments will be led by an Accredited Assessor who has been successfully accredited as a SafePlus Assessor by the independent Accreditation Body. Becoming accredited helps provide you with credibility and status over others.

Are there different grades or types of SafePlus Accredited Assessors?

No. There is only one type of SafePlus Accredited Assessor. Only a SafePlus Accredited Assessor can undertake a SafePlus assessment and advisory service. However, assessments may involve other Accredited Assessors or technical subject matter experts. The specialist technical support person(s) do not need to be SafePlus Accredited Assessors. Other assessors performing on the same assessment to help bolster capacity needs do need to be accredited.

Is accreditation at an individual or corporate level?

Only individuals can get accredited. There is no corporate category of accreditation to cover organisations with multiple practitioners. Each practitioner wanting to become a SafePlus Accredited Assessor will need to go through the accreditation process and be successfully accredited. This is because the necessary skills and expertise are held by the individual assessors.

How do I get accredited as a SafePlus Assessor?

Interested candidates should read the relevant background information at www.safepius.nz about SafePlus, including the Assessor Competency Specification, which explains the core competencies that assessors need to have. If you think you will likely meet the standard required, you need to complete and submit an application to the SafePlus Accreditation Body, provide the required information, and pay the application fee. The Accreditation Body provides application information to those considering whether to seek SafePlus accreditation.

The application process involves an initial desk-based assessment of your application by the Accreditation Body. Suitable candidates will then have a face-to-face competency assessment. Then they will complete a mandatory training course, run by a training provider. Applicants who pass the competency assessment and successfully complete the training, including its written examination, will be granted SafePlus Accredited Assessor Status. They will then be added to the public register of SafePlus Accredited Assessors. Further information about the accreditation process is at www.safepius.nz (click on Accredited Assessors section).

Who is the Accreditation Body and how were they chosen?

Tracecare Limited is the independent SafePlus Accreditation Body. Tracecare was appointed by WorkSafe to provide this role. The appointment followed a contestable open tender process that was undertaken in 2017. Tracecare is a New Zealand company that provides consulting services in governance, security, emergency management, and

health. More information about Tracecare and its role as the SafePlus Accreditation Body is available at www.tracecare.co.nz.

Is there a cost to become accredited?

Yes. The Accreditation Body sets a fee for the accreditation process. There is an accreditation fee and a separate fee for the required training course that is part of the accreditation process. The fee structure is available at www.safepius.nz (click on Accredited Assessors).

The Onsite Assessment and Advisory Service is to be delivered by the private sector. WorkSafe or ACC have no role in setting the accreditation or training fees. Practitioners will need to consider such fees when making their own business decisions on whether to seek SafePlus Accredited Assessor status.

What skills and experience do I need to become an SafePlus Accredited Assessor?

The *Assessor Competency Specification* describes the key competencies that candidates need to have in order to get accredited. The Specification also provides examples of the type of evidence that can be used to demonstrate each of these competencies. The Application Form for assessor candidates also specifies other information that candidates have to provide. The core competencies include:

- Business acumen
- Evaluative assessment
- Behavioural knowledge
- Experience
- Communication
- Relationship management
- Team and assessment leadership
- Ethical practice.

Do I have to be on the HASANZ register in order to get accredited as a SafePlus Assessor?

Yes. Registration on the Health and Safety Association of New Zealand (HASANZ) register is a requirement in order to get accredited as a SafePlus Accredited Assessor. To get on the HASANZ register, applicants must satisfy a number of entry requirements. One of these is that they need to be an appropriately graded member of one of the HASANZ-affiliated professional bodies. Some of these professional bodies have different levels of membership and not all of these levels are sufficient to enable the professional to be registered on the HASANZ register. Applicants will need to check with their respective professional bodies (and HASANZ) as to whether their level of membership is sufficient to support registration on the HASANZ register.

HASANZ member associations each have their own requirements regarding their practitioners' experience, continuing professional development, good character, ethics, and insurance cover. In many cases, evidence of these requirements being met will help to meet a number of the Accredited Assessor competency requirements. Being part of a professional association that is a member of HASANZ is seen as an important mechanism to help ensure the quality, professionalism and competence of those practitioners who operate as Accredited Assessors in the SafePlus Onsite Assessment and Advisory Service.

Will there be a cap or limit on the number of SafePlus Accredited Assessors?

No. Anyone can apply to become an Assessor. There is no limit on numbers, but accreditation will be based on the competency assessment process and its outcome. The volume of work for assessors will also be driven by market demand and issues such as the quality of the work they do and the fees that they charge their client businesses.

If my application is unsuccessful can I appeal?

Yes. There is an appeal process if you do not get accredited. This is managed by the Accreditation Body and described in the Appeal Policy which is available on Tracecare's website www.tracecare.co.nz

What is the term of accreditation?

Accreditation is for three years. If you want to continue to be a SafePlus Accredited Assessor you will need to undergo a re-evaluation of current competency process approximately every three years to renew your accreditation.

What will the re-assessment process involve and cost?

The re-assessment process will consider what the assessor has done to maintain their competence over the previous three years. This won't involve undergoing the same process as the initial competency assessment, but will likely be a desk-based process that will consider any relevant CPD undertaken (eg. training, participation in sector forums or conferences, etc), any new qualifications gained, and the type and nature of work the assessor has completed (eg. SafePlus Onsite Assessments, and advice to businesses, etc).

The cost for the re-evaluation process will be set by the Accreditation Body. The fee structure is available at www.safeplus.nz/assessors

The Assessor role

What are my core roles and responsibilities as an Accredited Assessor?

Once contracted by a business to provide Onsite Assessment and Advisory Services, SafePlus Accredited Assessors' key responsibilities will be to:

- Assess businesses against the SafePlus Performance Requirements and identify and communicate their strengths and weaknesses.
- Use the SafePlus behavioural-evaluative assessment approach when using the SafePlus tool and comply with the assessment approach as defined in the *Assessors Guide*.
- Make practical performance improvement recommendations to businesses about how they can improve their health and safety
- Provide good practice guidance and advice to businesses on how they can implement the performance recommendations.
- Use the SafePlus assessment report template.

A comprehensive list of Roles and Responsibilities is available on the SafePlus website (Safeplus.nz).

Your initial conversations and planning with businesses

Initial conversations between Accredited Assessors and businesses are an important part of the SafePlus process. Such engagement and communication begins before any contract for services is agreed. This engagement can help position and inform quotes/proposals, subsequent contractual negotiations, and the final agreed scope of work to best meet clients' needs. There should be a two-way exchange of information. Assessors should ask for and receive information about the business to understand its context and needs. This information will help Assessors understand how SafePlus can work for the business – whether this is a response to a general query, or a more formal proposal, or quote for services.

Assessors will need to provide businesses with information about themselves and SafePlus; how it works, what the assessment process involves, and how it can help businesses improve their health and safety. It is important for Assessors to be able to communicate the benefits of SafePlus. Key messages will include:

- SafePlus describes what good health and safety looks like through the 10 SafePlus Performance Requirements and their supporting indicators.
- SafePlus uses a diagnostic and behavioural evaluative assessment, which does not primarily focus on a document review. The assessment approach involves interviews with workers and leaders in the business at different levels - observing people at work, their practices, the conditions they are working in, and reviewing business processes where applicable. SafePlus will help the business to understand the health and safety practices, behaviours, attitudes, perceptions, values, and culture.
- Businesses will receive good practice performance improvement recommendations that are based on the assessment's findings and tailored to business improvement needs.
- Assessors will provide expert guidance and advice on how to implement the recommendations as part of the assessment.
- The assessment will give the business an illustration of the business's current health and safety performance, including its strengths and what it needs to do to improve.
- SafePlus can provide a business with greater confidence, knowledge on how to improve its health and safety, and provide assurance they are on track.

Assessors should not assume a business knows what it wants when asking for SafePlus services. In many cases they will not understand what SafePlus is and how it can help them. Some will be seeking advice on how SafePlus can be used or applied in their specific situation. There is not a one-size-fits-all approach; it will depend on the Assessor getting to know the business - what it does, its size, complexity and critical risks. Exactly what the business wants from a SafePlus services, i.e. is their primary objective guidance and advice to support their continuous improvement or is it increased business confidence and assurance that they are doing the right things now and performing well, or both? Such factors will influence how the Assessor provides advice on what a SafePlus assessment could entail and its potential scope (discussed further below).

To support Assessors' engagement with potential clients, the SafePlus Programme has developed some resources which can be provided to businesses to explain SafePlus. These include video clips about SafePlus, FAQs for Businesses, a guide for businesses etc, available at www.safeplus.nz

Explaining the nature of SafePlus – it's NOT a compliance audit service

To inform communications with prospective clients, Assessors need to be clear about what SafePlus is, and how it is different from other health and safety products. Some Assessors have described SafePlus as an 'audit'. SafePlus is NOT a traditional compliance audit product, it is important not to confuse SafePlus as an audit product. The key purpose of SafePlus is to provide consultative guidance and advice to improve a business's health and safety performance.

SafePlus is an educational performance improvement tool, rather than a compliance or audit product. It is best seen as consultative and advisory service. Assessors provide good practice recommendations to improve and support businesses.

A video clip <https://www.youtube.com/watch?v=cBgokTePJHA> explains the SafePlus approach. It was released by SafePlus for new assessors coming through the accreditation assessment and training process. This is a useful refresher video because it was created after the initial round of assessor training courses and informed in part from feedback from both practising accredited assessors and client businesses.

Scope of assessments

What should each SafePlus Onsite Assessment cover?

The Onsite Assessment evaluates a business's health and safety performance against the ten SafePlus performance requirements – organised into three core elements: leadership, worker engagement and risk management. Each requirement has four or five indicators, which explore how a business performs against the requirements in more detail. These requirements are described in the *SafePlus Performance Requirements* document.

The scope of a SafePlus assessment MUST cover all three of the elements and ALL ten performance requirements and their indicators if the business wants to consider or promote itself as using the SafePlus tool. There may be times when a business asks if you can assess it against only some of the performance requirements (but not all of them). For example, a business may be particularly interested in its risk management system and ask you to just focus on the four SafePlus risk management performance requirements. While there may be valid reasons for this, you should explain that, while you can do this, it will NOT be a full SafePlus assessment and advisory service and the business will NOT be able to claim that it meets or even used the SafePlus Tool, unless it is assessed against and meets all ten performance requirements using the SafePlus methodology. These performance requirements are all seen as being fundamental to good health and safety – it is not a case of picking or choosing between them. It is also important for national consistency, and the reputability of the SafePlus brand that all businesses are assessed against the same requirements in as consistent a way as possible.

SafePlus assessments involve observing practices, processes, plant, people, an environment, and assessing behaviours, attitudes, perceptions, values and health and safety culture through interviews and interactions. Assessors conduct behavioural observations onsite, interview people within the business and review practices and processes to understand how key risks are managed. Assessments will involve a Deep Dive assessment process that traces risks through the different layers of the business. The *Assessor Guide* (provided to Accredited Assessor during their SafePlus training) provides more information about assessments. The training provided during the accreditation process also provides more detailed information.

What do you mean by the terms such as 'perceptions', 'attitudes', 'behaviours' and 'culture' in this context?

A 'perception' can be considered as the way in which something is regarded, understood or interpreted by a person. A person's perceptions can influence their attitudes and behaviours. A perception can sometimes be wrong, but is based on how a person interprets something.

An 'attitude' can be regarded as a more settled way of thinking or feeling about something, or a person's view point on something. Attitudes can drive behaviours and practices. Attitudes can be a frame of mind.

A 'Behaviour' is more about the way in which someone actually acts or conducts themselves in a given situation or in response to certain stimulus. This could include how a person behaves towards other people.

'Culture' is a term that includes customs, beliefs and social behaviours in a business or of a particular group of people in a business. Culture can change from group to group, or over time. It can be a way of doing something or a way of working that exists in an organisation. Culture is usually a shared system of assumptions, values and beliefs that govern or influence how people behave.

How is the scope of a SafePlus Onsite Assessment determined and agreed upon?

The scope of each assessment is specific to the business context and needs. It is worked through with each client and agreed at the outset. The scope will depend on a range of factors, explored through discussions with each business. Some key considerations include:

- The nature of the business – what does it do?
- The size and complexity of the business – for example, does it span multiple locations, or is it comprised of different business units that undertake a range of different functions and activities?
- Its specific risk profile (which will likely vary across the business depending on which parts you are considering).
- Specific client priorities.
- Budget and timeframes.
- Other issues discovered in initial interactions and engagements with your clients.

For a larger business with multiple sites or locations it is likely that some form of sampling across sites is required. However, there is no defined minimum sampling rules - it is a matter of the assessor's professional judgement after scoping discussions with the business. It is important to take a business consultative approach, rather than relying on a traditional pre-set formula compliance audit approach to sampling. For example, questioning the business about its risk profile, and how this could vary throughout the organisation, could help you work out what seems a reasonable sampling approach.

Should I document the scope of each SafePlus Onsite Assessment?

Yes. This should be documented at the outset of the assessment so there is clarity between the Assessor and the business. It is also important to accurately describe the agreed assessment scope within the assessment report, including any changes agreed during the assessment.

An updated (April 2018) version of the SafePlus assessment report template has been produced, it includes a sub-heading on the introduction page for Assessors to document the agreed scope of each assessment. This can be used to describe any scoping limitations up front. For example, was the assessment restricted to specific sections, offices, locations, sites or business unit; or did it only focus on specific operations?

A clear scoping statement sets the context for your report and advice, as well as supporting your findings/recommendations in the performance illustration (ie, whether you have assessed them as being at the SafePlus 'developing', 'Performing', or 'Leading' performance levels).

It is important to take a balanced approach about how your findings, recommendations, and performance judgments can be extrapolated to parts of the business that you may not have thoroughly assessed (or not assessed at all). There will be some situations where you feel comfortable extrapolating or generalising your findings across the business. For example, if you find that there are consistent themes recurring across some sites and it is reasonable to believe that they are likely to be apparent in other sites, or across the wider business. However, there may be good reason to restrict your findings, recommendations or judgements to particular sites, locations, or activities within the business (eg, a particular risk may only exist in one location, or there may be factors at play in a location that influence a risk management control that may not be as relevant to other locations, etc).

Assessors may also describe the scope of each assessment in the disclaimer section at the back of their reports, this will ensure the assessment scope is clear.

Can the scope be revisited?

Yes – you may need to revisit the assessment scope with your client as you work through the assessment. This is a routine occurrence for most professional advisory services, and SafePlus is no different. For example, it may become apparent that an issue or risk was not initially identified, or was considered a minor issue, so further assessment and consideration is required. Another example is where there is consistent feedback or themes from some sites, so going to another similar site will not be of additional value (eg, you have reached data saturation). In this case, it could be more valuable to direct time and effort to another part of the assessment.

A range of scenarios will likely arise when you are providing services to different organisations. The key is to have open communication with the client; raise potential scope changes as soon as possible, discuss the implications on the assessment, and agree a way forward.

How long should a SafePlus Onsite Assessment take?

This will depend on a number of factors such as the size and complexity of the business, what parts of the business are included (e.g. sites chosen), the scope of the assessment and specific risks being considered, the issues found during the assessments, the capacity, capability, and experience of the assessment team, how well the business is prepared for the assessment, and the business's existing performance level.

Experience from the SafePlus pilot suggests that the minimum time for an Onsite Assessment of a medium sized business, using two assessors, should take approximately 2 days to complete. Larger or more complex businesses will likely take 3-4 days. Assessors will need to write their reports after their onsite visits, and there will also be a process of the business providing feedback on the draft report, which will play out after the onsite visit.

Should I follow up on a business after their assessment is finished?

Yes – it will often be appropriate to offer follow up support (guidance, advice and implementation support). But this should be something you discuss with the business at the outset when you determine the scope of your services. Some may wish for further help; others may not.

You should also suggest that the business consider when it is timely for a reassessment. SafePlus emphasises the need for continuous improvement. While there is no set time for a reassessment, unless the business wishes to portray itself as a 'SafePlus Business' and use the SafePlus brand and identity alongside its own. The outcome of a business's onsite assessment will not remain valid indefinitely. There will always be new issues and risks arising and opportunities for them to improve their performance. An appropriate reassessment time will depend on a range of factors specific to the business including: the risk factors workers face, the issues identified in the assessment, the nature of any performance recommendations made (and how long they will take to implement), and the business's level of health and safety performance. For most businesses, getting a SafePlus reassessment approximately every two years will likely be appropriate. For Businesses wishing to use the SafePlus brand and visual identity they must be reassessed by an accredited assessor(s) at least once every two years, otherwise they must cease using the SafePlus brand and logo in association with their company.

Why do Assessors need to provide guidance and advice to the business during SafePlus Onsite Assessments?

This is a key point of difference of SafePlus compared to other health and safety products or services, such as the more traditional paper-based compliance audit products. SafePlus is a performance improvement initiative that goes beyond a 'tick the box' compliance approach. Businesses are assessed against a set of good practice performance requirements and given a set of performance recommendations. However, SafePlus is also about Assessors working with businesses (not auditing them) and providing guidance and advice about where and how the businesses can implement the performance recommendations. Every Onsite Assessment and Advisory Service should provide face to face advice and guidance when on-site during the assessment and Assessors' reports also need to include consultative guidance and advice that is appropriate for the business.

Is there any potential for a conflict of interest if SafePlus Accredited Assessors are undertaking assessments of businesses but also then providing advice on how to implement their improvements?

No. SafePlus is not a standards and conformance tool such a compliance audit where there is usually a separation between the auditor and what a business then does in response. SafePlus is an educative performance improvement tool and the primary objective of Assessors is to undertake sound assessments and then to provide guidance and advice on how businesses can actually implement their recommendations and improve. Going the extra step and providing tailored guidance and advice is a fundamental feature of SafePlus and, essentially, its primary function and benefit to the business.

What do I do if I identify a significant health and safety risk that is not being managed (that could pose an imminent risk to a person)?

You should treat any such situation seriously and use your professional judgement to guide you to decide what to do. Immediately raise it with your main point of contact at the business, or other appropriate person if they are not available. If you do not believe that your contact is treating the matter seriously, or not acting quickly enough, you

should escalate the matter within the business. Be specific, persuasive, and firm. You should then agree what should be done with the business. Be helpful, but be explicit about your concerns that you need them to address and explain how the issue will impact on the assessment (ie, does the assessment need to be deferred or can the issue be quickly resolved so that the assessment can continue?). More information on these situations is provide in the Assessors Guide.

What if an issue with HR implications is raised?

There may be a range of things you identify that are genuine health and safety issues relevant to the assessment, but also may be important issues to raise with HR or another person in the business. For example, an allegation of staff bullying or a person's workplace stress could be both legitimate health and safety issues as well as HR issues. These should be raised with the business. This will be a matter of professional judgment.

What quality assurance should be applied to each assessment?

Quality assurance is an important factor to be considered across the whole assessment process – from initial planning and scoping through to submitting your final report and tailored advice to the business. Assessors should already have their own existing professional quality assurance mechanisms in place, including steps they undertake before each assessment, when onsite at the business, and after the visit. Assessment reports should always be peer reviewed so that a second qualified set of eyes reviews draft and final reports before they are provided to businesses. More information about quality assurance expectations is provided in the Assessors Guide.

The Assessment Team

Can SafePlus Onsite Assessments be done by one assessor, or are more than one required?

A key part of the Accredited Assessor's role is to consider whether they have the necessary range of skills, experience and necessary capacity for each specific SafePlus Onsite Assessment and Advisory Service, or whether they need to involve one or more supporting assessors or other sector or specialist experts.

Most assessments should involve more than one Accredited Assessor to provide the quality assurance of a peer review and second set of eyes – both onsite and afterwards when collating assessment findings and formulating the tailored guidance and advice to the business. It also provides additional resource to manage the sampling work necessary to form evidence-based conclusions, and to complete the assessment in a reasonable timeframe. Finally, it provides additional capacity to provide a greater level of advice and guidance to workers onsite during an assessment of a business, or for assessments at larger businesses with multiple sites. More than one Accredited Assessor is recommended for most assessments.

As a SafePlus Accredited Assessor, who can I bring onto my assessment team?

On any given SafePlus assessment, the Accredited Assessor should consider whether it is appropriate to also involve:

- A supporting Accredited Assessor with health and safety expertise to provide additional capacity or expertise that the lead Accredited Assessor does not have.
- Technical or specialist subject matter expert who may or may not have a health and safety background, but who brings relevant subject matter expertise eg. high

hazards, risk management, or specialist skills engaging with particular cultural groups that may be required for a particular SafePlus assessment.

- Both types of experts.

Does a supporting assessor or technical expert have to be SafePlus Accredited?

All assessors must be accredited as a SafePlus Accredited Assessor by the independent Accreditation Body. However, technical experts who are providing specialist technical subject matter or sector expertise (and are not performing the full role of an Assessor) do not need to be Accredited Assessors. These technical experts must work under an Accredited Assessor. Any member of the assessment team undertaking the role of an Assessor needs to get accredited.

Will there be training for those who are not SafePlus Accredited Assessors?

No. If someone is undertaking an assessment role on any SafePlus assessment then they need to be accredited. Other technical experts do not need to get accredited because they are only there to provide their specialist technical expertise and not undertake SafePlus assessment activities. There is no SafePlus training for them. All members of the Assessment Team should be familiar with the SafePlus guidance and resources however.

Performance illustration

Do I need to give the business an illustration of their performance?

Ideally, yes. While your report will describe the key issues found during the assessment (along with your recommendations, guidance and advice), it should include a performance illustration. This will provide the business with an understanding at a glance of how well it is performing across the SafePlus Performance Requirements – particularly useful for senior leaders and governance roles.

How does the performance illustration system work?

There are ten Performance Requirements that make up SafePlus. Each requirement has a set of four or five supporting indicators. The requirements and their indicators are fundamental to achieving good health and safety. Performance is measured against each requirement using a three-level maturity scale to illustrate the business's health and safety strengths and areas for improvement. Each of the ten Performance Requirements is given a performance level outcome of either: *Developing, Performing or Leading*.

More information about SafePlus performance illustration framework is provided in the *Assessors Guide* that is provided during the accreditation process.

Do all the indicators for each Performance Requirement need to be met for a requirement to be achieved?

Yes. Each indicator is considered essential for its Performance Requirement. Assessors will need to be satisfied that there is adequate evidence of all the indicators being met in order to meet the Requirement (ie, assess performance for the requirement as either *Performing or Leading*).

If any indicator in a requirement is not met, or is only partially met, Assessors will need to make recommendations and provide guidance and advice on what the business needs to do in order to meet the indicator.

Do businesses get the opportunity to action a recommendation or make changes before I finalise my report?

Yes. In many cases this will be a viable option and if the necessary action is undertaken by the business, then this could influence their performance level for a given Performance Requirement (or in some cases even their overall performance level). For example, if a business successfully actions one or more of your recommendations during or soon after your on-site visit, then this could be sufficient for you to consider moving the business from the 'developing' level to the 'performing' level.

The Onsite Assessment and Advisory Service allows for a three-month maximum period from the end of the assessment visit to give the business the time to action the recommendations made by the Assessors in order to be considered as part of the initial assessment outcome. Three months has been selected to account for contingencies such as peak seasonal issues and key personnel being on leave and is seen as the maximum timeframe. In practice, it is recommended that the business and Assessor aim to finish in 6-8 weeks.

Each case needs to be considered in its own context and will come down to a professional judgement by the Assessor in discussion with the business to consider what is reasonable in the circumstances. Relevant factors will include:

- The nature and complexity of the recommendation(s) and action(s) required.
- The likely time it will take to action the recommendation(s).
- Whether there is the opportunity for the Assessor to verify that their recommendation(s) has/have been appropriately actioned.
- Cost or logistical implications for any verification needed or implications of delay on being able to finalise the assessment report.
- Whether actioning the recommendation(s) would likely change the performance level (or whether a range of other actions are also needed).

If the change is a relatively quick and simple fix that the business can action during or shortly after the assessment visit, and can be readily verified, then this may be an option. In contrast if the recommendation will take longer to implement and would necessitate the Assessor needing to come back to spend time verifying it has been appropriately actioned, then the best course may be for the business to work on all of its recommendations and seek a reassessment at a future date.

For example, if the business puts a new incident reporting system in place after an Assessor recommendation, but no new incidents occur during the assessment finalisation process (and so no evidence that the new process is working effectively), then this may need to be further assessed during the next assessment.

SafePlus resources and collateral

What SafePlus resources have been developed to support Assessors?

A number of resources have been developed that SafePlus Accredited Assessors may wish to use to help plan and undertake Onsite Assessment and Advisory Services. These include (as at April 2017):

- An Assessment Planning Checklist
- A Template to support scoping of assessments
- The Assessment Report Template (this should be used for all assessment reports provided to businesses to help ensure national consistency and quality control).

- A 'mock' SafePlus assessment report based on an assessment of a fictitious business. This provides some guidance on what a good exemplar assessment report could look like.

With the exception of the Report Template, Accredited Assessors can decide whether to use these resources or use their own supporting tools and documents that they have developed or customised to provide their services to the market. There are also other documents that have been developed to support Accredited Assessors – including:

- The Assessors Guide
- The SafePlus Performance Requirements Guide (with versions tailored for some sectors)
- A Guide for Business and a SafePlus Fact Sheet
- Model SafePlus questions for different tiers in businesses (governance, executive, and line management, workers, and key contractors).

The SafePlus website has a range of resources that you can refer potential clients so that they can make informed decisions on whether SafePlus is right for them. This includes the SafePlus Guide for Businesses, and information about the SafePlus value proposition and benefits to businesses and their workers (refer to safeplus.nz).

Do I have to use the SafePlus assessment report template when I produce SafePlus reports for businesses?

Yes, SafePlus Accredited Assessors should use the SafePlus assessment report templates to ensure consistency across assessors and include the required information for businesses. The report template includes space for Accredited Assessors to add their own branding, or branding from the businesses that they are assessing or advising (assuming the business gives permission to do this). There is some scope to add or tailor the report templates, but it is important to ensure your reports contain all the necessary information and cover the sections that are included in the report template. Using the report template will ensure that you follow the SafePlus Style Guide, and there is a nationally consistent approach, experience and quality.

Can a person who is not a SafePlus Accredited Assessor provide SafePlus Onsite Assessment and Advisory Services or use the SafePlus supporting resources?

Most of the SafePlus resources are freely and publicly available for any business to use. Some businesses will use these resources internally to strengthen their own health and safety system and performance, without hiring a third-party provider.

Likewise, there is nothing to stop a health and safety practitioner using the same SafePlus material and providing generic health and services to the market. However, they cannot express or imply that they are a SafePlus Accredited Assessor unless they have been successfully accredited. Additionally, businesses must use a SafePlus Accredited Assessor, and meet the SafePlus performance requirements if they wish to promote themselves as using the SafePlus tool or 'being a SafePlus business'.

WorkSafe strongly recommends that businesses only use SafePlus Accredited Assessors if they are considering using the SafePlus Onsite Assessment and Advisory Service. This will give them greater certainty that the Accredited Assessor is trained in the use and application of SafePlus, has the capability and competency to do a good job, and can give them the best value from a SafePlus Onsite Assessment and Advisory Service.

Use of SafePlus branding

Can I promote or advertise myself as a SafePlus Accredited Assessor?

Yes. You can advertise or promote that you are a SafePlus Accredited Assessor if you have been successfully accredited by the Accreditation Body, and your accredited assessor status is valid (ie. it has not lapsed after three years or been revoked). Practitioners who have not been successfully accredited cannot refer to themselves as SafePlus Accredited Assessors.

Advertising and promotion could include using the SafePlus logo on your print material and digital channels but not on permanent fixtures such as signage, equipment and vehicles. You should also be aware that it is not the company that is accredited, but individual Assessors. There are no corporate, group or organisational accreditations given.

When using the SafePlus Accredited Assessor logo, please comply with the SafePlus Style Guide for third party use which is available by emailing info@safepius.nz

Can I use ACC or WorkSafe's agency logos on my SafePlus onsite assessment reports, or any of my advertising/promotional material, signage, equipment, premises etc?

No. You cannot use Government logos. Some SafePlus resources include Government branding, because these documents were developed by such agencies to support SafePlus. Accredited Assessors or businesses who use SafePlus must not add Government logos to any of their communications, promotional material, or reports or documents that they produce as part of providing SafePlus Onsite Assessment or Advisory Services.

Assessors' reports must not expressly state or imply that the Government, or any government agency, endorses or supports the performance findings, recommendations, and advice contained in their assessment reports. Such reports are commercial transactions between SafePlus Accredited Assessors and their client businesses. The Crown has no involvement in, or visibility of, specific SafePlus Onsite Assessment and Advisory Services provided by Accredited Assessors to their client businesses.

Can businesses' use the SafePlus logo and branding in their marketing and promotions?

Yes, but only in some circumstances. They can only promote their business as meeting the SafePlus performance requirements initiative if their business has:

- Completed the onsite assessment and advisory service, and
- The assessment was undertaken by a SafePlus Accredited Assessor,
- They have scored an overall outcome of *Performing* or *Leading*, and
- The last assessment was carried out no longer than two years ago.

They cannot use the SafePlus branding or logo or expressly state or imply that they meet the SafePlus performance requirements if they have been assessed at the *Developing* performance level for any one or more of the requirements (this will mean their overall performance level will also be *Developing*). The reason for this is that all 10 of the SafePlus performance requirements are considered essential for good health and safety. All must be met in order to use the SafePlus brand.

Advertising and promotion could include using the SafePlus logo on their print material and digital channels but not on permanent fixtures such as signage, equipment and vehicles.

When using the SafePlus branding and logo, businesses must comply with the SafePlus Style Guide, which is available by emailing info@safeplus.nz

Businesses that have used the free SafePlus resources and tools themselves cannot expressly state or imply that they meet the SafePlus performance requirements. Such businesses have had no independent verification by a SafePlus Accredited Assessor so cannot use SafePlus logos or branding. The online self-assessment tool (due for release in mid-2018) does not involve any independent verification of performance. As such, businesses cannot use the outcomes of their own internal self-assessments to expressly state or imply that they meet the SafePlus performance requirements.

Can businesses' use the logos of the government agencies that created SafePlus in their marketing or promotions?

No. They cannot use WorkSafe or ACC's organisational logos. Some SafePlus resources include Government logos, because these documents were developed by government agencies to support SafePlus. Accredited Assessors or businesses must not add Government logos to their own communications, or promotional material, reports or documents that they produce.

Assessors or businesses must not express or imply that the Government (incl any of its agencies) in any way endorses or supports the performance findings, recommendations, and advice contained in their specific assessment reports. Such reports are commercial transactions between the SafePlus Accredited Assessors and the businesses concerned. The Government (and its agencies) has no involvement in, or visibility of, specific SafePlus Onsite Assessment and Advisory Services provided by Accredited Assessors to their client businesses.

Complaints

Can businesses make complaints about their SafePlus Accredited Assessors? If so, to whom, and about what?

SafePlus is a voluntary toolkit that the government has developed for the private market to deliver. WorkSafe, ACC, or any other government agencies will not be involved in the specific SafePlus assessments that are privately agreed commercial transactions between the Assessor and businesses. If a business wishes to make a complaint against a SafePlus Accredited Assessor, this should be raised with the assessor concerned in the first instance, and could be escalated to other leaders in the Assessor's organisation.

If a business believes that their SafePlus Accredited Assessor is, or was not, sufficiently technically competent to undertake the assessment then they can raise this with the independent Accreditation Body, Tracecare Limited. More information about the complaints process is available on Tracecare's website www.tracecare.co.nz or you can write to:

SafePlus Accreditation Manager
Tracecare Ltd - SafePlus Accreditation Body
PO Box 10138
Wellington.

The other usual market mechanisms will also be available if businesses have a complaint about their Accredited Assessor as they would for many service providers. For example, may consider raising the matter with the Assessor's professional body, using the

Disputes Tribunal, or taking action under other consumer protection legislation in situations where this may be appropriate (eg, the Fair Trading Act or Consumer Guarantees Act).

If you become aware of any practitioner that has been acting as a SafePlus Accredited Assessor without accreditation, you should notify the Accreditation Body in the first instance.

Other issues

What can I charge a business to undertake a SafePlus onsite assessment? Is there any set fee?

There is no set fee. This is a commercial matter between each SafePlus Accredited Assessor and the businesses that commission them, just like it is when hiring any health and safety service provider or professional in the market. Price is one of the factors that Assessors will need to consider when offering their services. WorkSafe will not be setting or monitoring the fees charged by Assessors.

How do businesses identify and choose a SafePlus Accredited Assessor?

There is a public register that lists all the SafePlus Accredited Assessors and contact details. This is published on the SafePlus website (safeplus.nz).

SafePlus Accredited Assessors can also advertise and promote their services (although there are some restrictions that Assessors need to be aware of that are noted in the questions about branding, above). Businesses may also seek quotes or written proposals from assessors.

Is there marketing and promotion of SafePlus?

Yes. WorkSafe has developed and is implementing a Communications and Stakeholder Engagement Plan to actively promote SafePlus and encourage its uptake. This activity includes a range of initiatives such as:

- A Ministerial launch of the Onsite Assessment and Advisory Service
- Maintaining SafePlus updates, information, and resources on WorkSafe's website (safeplus.nz) – including video clips, guidance documents, newsletters
- Media releases
- Presentations at industry and sector forums and conferences
- Meeting with businesses and sector groups to promote SafePlus
- Articles in sector publications
- Using social media – such as LinkedIn, Twitter, YouTube and Facebook, etc
- Producing promotional material for assessors to use when engaging with businesses and making this freely available on the SafePlus website (SafePlus.nz).

Will WorkSafe Inspectors have a role in promoting SafePlus?

Yes, if they believe that SafePlus could be appropriate for any given business that they interact with. Some businesses will not be ready to use SafePlus so it will not be appropriate for them – each case will depend on the circumstances.

What is the relevance of the Online Self-Assessment Tool (once developed) to the Onsite Assessment and Advisory Service?

The Online Self-Assessment Tool is expected to be released in mid-2018. It will help businesses undertake their own self-assessments of their health and safety performance. This will help them to identify gaps and issues in their health and safety system and provide guidance on how they can improve, based on their self-assessment. It will use a 360-degree approach to get insight from workers, managers and senior leaders against the SafePlus Performance Requirements. The Online Self-Assessment tool is suitable for all businesses, but the first version will have a focus on small to medium sized businesses. It is planned to customise other versions in the future for larger businesses, or for specific risk sectors.

While the Online Self-Assessment Tool will not have any independent verification, and reflect the business's own view of its performance (which can sometimes be over-estimated), it is a good first step for businesses to familiarise themselves with the SafePlus Performance Requirements and gain perspective about how well they are performing. If a business has carried out an Online Self-Assessment, this will be useful to share with their Accredited Assessors as it can help inform planning of the Onsite Assessment and Advisory Service. Businesses that have undertaken their own self-assessment will be more familiar with SafePlus, creating efficiencies for Assessors and their client businesses.

Is there any financial incentive for businesses to use SafePlus – such as an ACC levy discount?

No. ACC has advised that there is a lack of evidence that 'upfront' levy-adjusted incentives are effective in driving improved health and safety performance. SafePlus does not have any levy discount associated with it. SafePlus is an initiative for businesses that recognise the inherent value of improving their health and safety and the benefits that come from managing health and safety risks well, e.g. productivity gains, avoidance of the costs of incidents and accidents, reputational and commercial advantages, employer of choice benefits, worker's improved safety, health and wellbeing.

Will SafePlus be evaluated?

Yes. WorkSafe is developing a monitoring and evaluation plan for SafePlus. This will look to gauge if SafePlus is working effectively and provide lessons and feedback to inform future improvements. More information will be made available when this is developed.

Should Assessors have public liability or professional indemnity insurance?

This is a business decision for each Accredited Assessor to make for themselves when they consider the range of services they offer to their clients. It will likely also be a requirement of each Assessor's professional body/association. However, whilst good business practice, there is no specific SafePlus obligation for Assessors to have insurance.