

Dear FISC Stakeholder

Consultation on Safetree Contractor Certification Standards

I would like to invite you to support the final consultation of the Safetree Contractor Certification Standards.

Contractor certification is one of a number of initiatives being launched to help achieve our industry goal of zero serious injuries and deaths in forestry, so it's important that we have your support and contribution to the content.

The initiative was developed by FISC with substantial input from the forest industry and in consultation with WorkSafe. It has been piloted by small and large operators, and the content of the assessment has had two rounds of public consultation.

Recognising the limited ability of the audit questionnaire to communicate the audit standard, a separate Standards Guidance document has been created. *The Standards Guidance should be read before the accompanying resources.*

The audit questionnaire is a tool for Accredited Auditors to record their findings and must be taken in the context that the user of that tool has been trained and had their competency assessed to use the tool.

This is the third consultation of the assessment criteria for becoming a Safetree Certified Contractor and is a further opportunity to provide feedback prior to Certification being formally launched. A summary of how we have used your feedback to date to improve previous drafts is provided in Table 1.

The Standards are designed on current safety thinking that focusses on resources that support workers understanding risk and responding to change. This latest version overlays a detailed review of the Forestry Approved Code of Practice for minimum evidence requirements to meet recognised good practice.

Please send your feedback to enquiries@fisc.org.nz Consultation will close **16 August 2017**. However, any feedback received after 16 August will be collated for programmed improvements and version releases.

Benefits of certification

- lead to improved health and safety and employment conditions for workers
- an opportunity to provide more direct support for contractors through FISC's auditor network
- make things fairer; professional contractors more likely to be used across the industry
- give forest owners efficiencies within their own pre-qualification and auditing programs
- benchmarking and a level of assurance when engaging new contractors
- demonstrate industry leadership and professionalism

ACTION

The feedback and advice provided by industry to date has helped to improve this assessment criteria and I look forward to receiving your further contribution to the scheme. Please do circulate within your organisation and encourage active engagement in this opportunity to shape our industry's professionalism.

Thank you for your contribution.

Kind regards



Fiona Ewing

National Safety Director

Forest Industry Safety Council

Enclosures: Safetree Contractor Certification Guidance to the Standards

Safetree Contractor Certification Filed Audit draft v4

Application form for Field Auditors

Code of Conduct

Table 1 - History of Audit Tool Versions

V #	Development objectives	Consultation and Feedback
v1	<ul style="list-style-type: none"> • WorkSafe Safety Star Rating Tool Standards be at the core of the assessment • Forestry requirements from 4 forest owners existing audit tools be used to provide additional question sets. • Employment condition requirements formulated by consultation with Trade Union and MBIE advice form additional employment questions. • Other requirements to determine professionalism such as insurance and statistics monitoring as determined by the FISC Technical Action Group form additional professionalism question sets. 	<ul style="list-style-type: none"> • Version piloted with 8 contractors and one field auditor. Pilot contractor feedback positive. Field Auditor struggled with lack of clarity of documentation requirements. • Consultation with forest owners, management companies and all parties who had expressed interest. Shared on Safetree. Forest Owners middle management closed meeting resulted in request for detailed content to be added to audit.
v2	<ul style="list-style-type: none"> • As version 1. • Additional detailed content request from previous consultation added as a secondary documentation level as too prescriptive to incorporate into a scheme for all. 	<ul style="list-style-type: none"> • Consultation with forest owners, management companies and all parties who had expressed interest. Shared on Safetree. Feedback from WorkSafe and 2 Forest Owners that the two 'level' approach was not liked.
v3	<ul style="list-style-type: none"> • As version 1 • Forestry ACOP analysed for all detailed evidence requirements and included as a minimum evidence content for auditors. 	<ul style="list-style-type: none"> • Consulted with FISC Technical Action Group, and Council and agreement made that a separate Standard must be provided to support the audit tool and the audit tool recognised as a tool for competent Auditors to record findings only.
v4	<ul style="list-style-type: none"> • As version 3 with reference to each Standard from the new Standard Guidance document. 	<ul style="list-style-type: none"> • Consultation with forest owners, management companies and all parties who had expressed interest. Shared on Safetree. Feedback by 16 August 2017.

STANDARDS GUIDANCE - Safetree Contractor Certification

The Safetree Contractor Certification ("certification") is an assessment of health and safety, employment standards and professionalism. These standards have been developed in partnership with industry contractors, management companies, forest owners and government. The standards reflect international good practice.

Who Certification benefits

Certification benefits all of forestry industry. It helps workers and their families select employment from professional contractors that invest in their health and safety. It helps forestry contractors know what good looks like and provides a method to demonstrate their investment and professionalism. It helps forest owners and management companies find contractors that will meet industry standards.



"I want to know I'm working for a contractor that's investing in my safety"

"I want decent employment conditions"

"I want to know what's required of me"

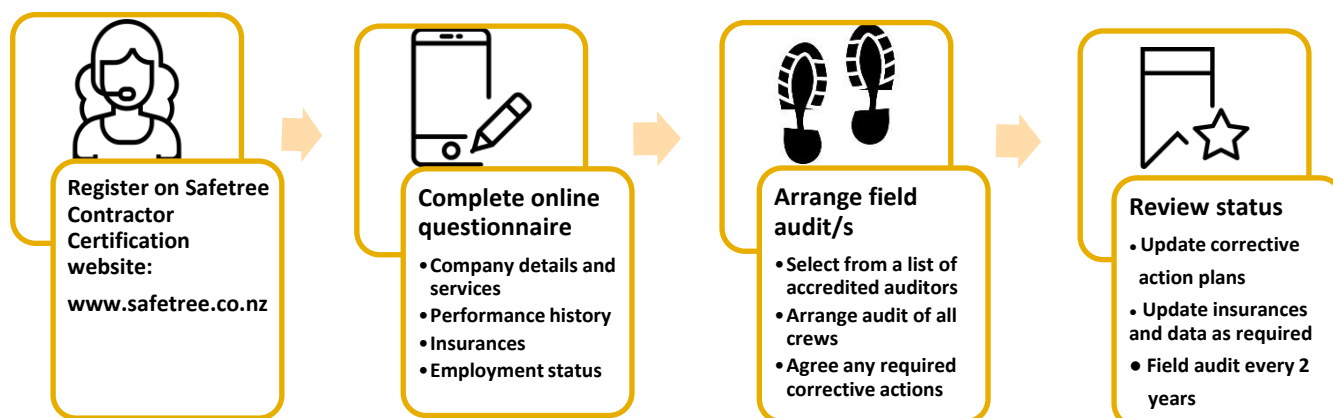
"I want to show I'm as good as the big companies"

"I don't want lots of different pre-qualification schemes to get work"

"I want to easily find contractors that meet industry standards"

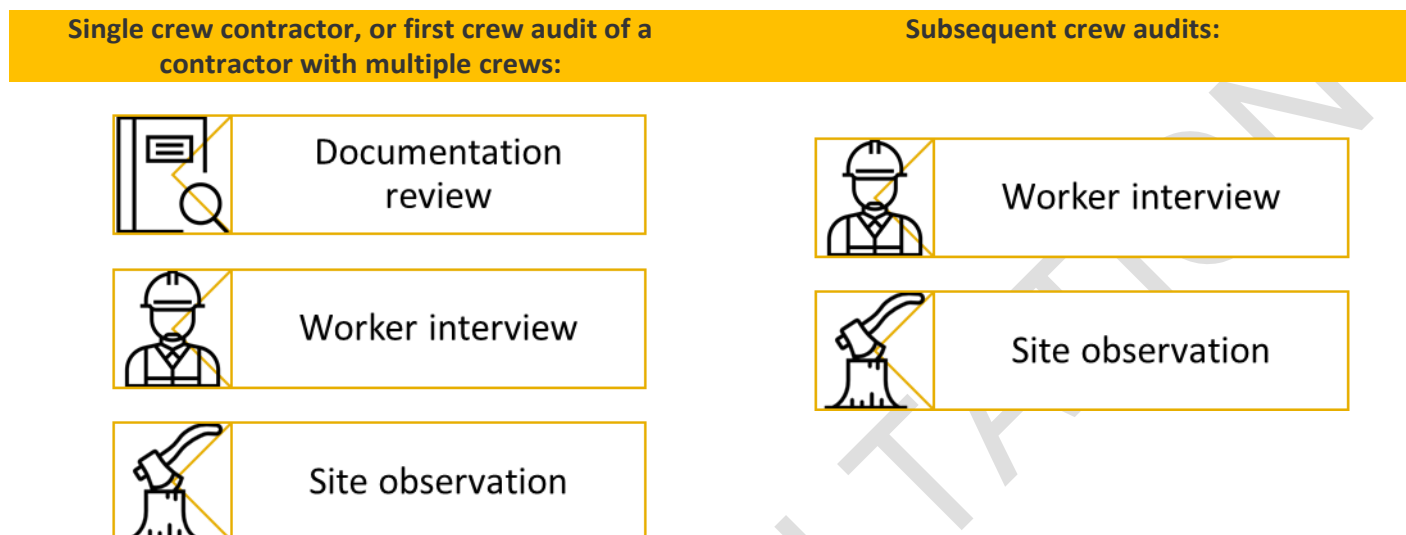
What to expect

The process for becoming certified is represented graphically below.



The evidence required to satisfy the standards are assessed by web based information and by field audit. The web based assessment covers insurances, safety statistics and employment status. The field audit gathers evidence for the balance of the assessment.

The field audit has three parts: a documentation review; an interview with workers; and a site observation. All crews must be audited, but the documentation review only need be undertaken with one of the crews.



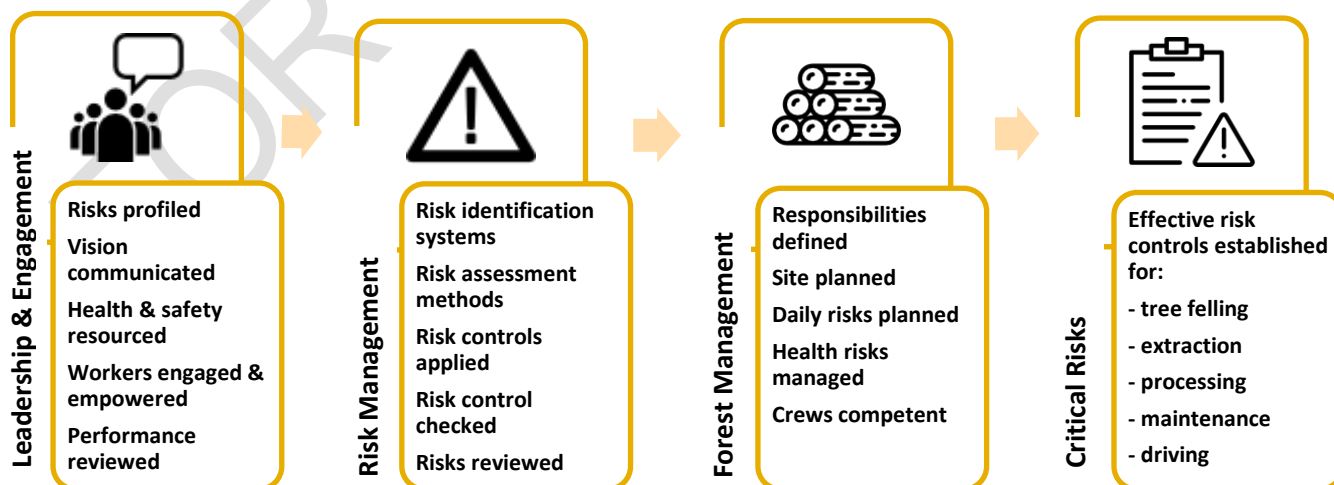
The cost of a single crew audit, or the first audit of multiple crews is a set price with the auditor of \$600.

The cost of a subsequent crew audit is a set price with the auditor of \$250.

The auditor will have disbursement costs that they will agree with the contractor upon appointment. The contractor engages the auditor by choosing from a register of accredited auditors. The register will show the regions in which they are based and work. Travel expense is set at a rate of \$0.75/km for use of road vehicle to the audit location.

The Standards

The Standards cover four core areas. They are:



The standards for each area are presented in this guidance. Contractors should familiarise themselves with this guidance before starting the certification process.

Leadership & Engagement

1.	Risks profiled	Assessed by:
	<i>1.1. Risks have been profiled by the PCBU and information about the most critical risks is provided in a meaningful way for workers to understand.</i>	Documentation review
2.	Vision communicated	Assessed by:
	<i>2.1. There is a documented health and safety statement covering vision/goals and commitments of the contractor to its workers and the commitments required of its workers.</i>	Documentation review
	<i>2.2. There is evidence of managers responding to error and rewarding good practice. Learnings are communicated.</i>	Worker interview
3.	Health and safety resourced	Assessed by:
	<i>3.1. Workers have sufficient time and support to meet health and safety goals. H&S representatives have time and support to perform their role.</i>	Worker interview
	<i>3.2. The job is resourced with appropriate and maintained equipment to meet health and safety goals</i>	Worker interview & site observation
	<i>3.3. PPE is provided, worn correctly and in good condition.</i>	Site observation
4.	Workers engaged & empowered	Assessed by:
	<i>4.1. There is evidence of structured safety meetings being held.</i>	Documentation review
	<i>4.2. Workers have opportunity to engage in matters concerning their health and safety. (If a worker has requested it an election must be held for a HSR to ratio requirements). Issues raised are resolved.</i>	Documentation review & worker interview
	<i>4.3. Workers are empowered to call STOP if they think something is unsafe.</i>	Documentation review & worker interview
5.	Performance reviewed	Assessed by:
	<i>5.1. There is evidence of incident investigation and sharing learnings.</i>	Documentation review
	<i>5.2. There is evidence of reviews of health and safety performance.</i>	Documentation review
	<i>5.3. There is a method to seek workers suggestions for improvement and follow up to these suggestions.</i>	Worker interview

Risk Management

6.	Risk identification systems	Assessed by:
	6.1. <i>There is an effective method to report and to respond to: safety issues; hazards; incidents; near hits; improvements.</i>	Documentation review & worker interview
	6.2. <i>There is evidence of consultation and collaboration of PCBU's to identify and monitor risks.</i>	Documentation review
	6.3. <i>There is a system to identify risk activities or incidents that require notification to WorkSafe NZ.</i>	Documentation review
7.	Risk assessment method	Assessed by:
	7.1. <i>There is an effective method for assessing and prioritising risks.</i>	Documentation review
8.	Risk controls applied	Assessed by:
	8.1. <i>There is a method for selecting controls based on their effectiveness.</i>	Documentation review
	8.2. <i>Workers are informed about risk controls to adopt. Their understanding is intentional – planned for.</i>	Documentation review
9.	Risk controls checked	Assessed by:
	9.1. <i>There is evidence of an inspection and audit programme of risk controls.</i>	Documentation review
10.	Risks reviewed	Assessed by:
	10.1. <i>There is evidence of change to risk controls in response to learning or feedback.</i>	Documentation review

Forest Management

11.	Responsibilities defined	Assessed by:
	11.1. <i>There is evidence of the agreement between PCBU's (hiring client and contractor) defining responsibilities and duties.</i>	Documentation review
	11.2. <i>The employment status and entitlements of all workers is known.</i>	Documentation review
	11.3. <i>Minimum employment entitlements are met.</i>	Documentation review and worker interview
12.	Site planned	Assessed by:
	12.1. <i>The contractor has determined site controls based on a pre-site hazard identification.</i>	Documentation review
	12.2. <i>There is clear marking of designated safe areas and danger zones.</i>	Site observation
	12.3. <i>Spill containment and stationary test certificate is provided for hazardous substances in stationary tanks over 5000L.</i>	Documentation review and site observation
	12.4. <i>There is clear instruction signage for visitors with defined induction and escorting restrictions.</i>	Site observation
	12.5. <i>The site is managed with care avoiding accumulations and obstructions</i>	Site observation
	12.6.	
	12.7. <i>There are stocked first aid kit/s on site, protected from contamination.</i>	Site observation
	12.8. <i>There are fire extinguishers of suitable size, pressure and in date. At least two 9kg foam (class B) if flammable liquids</i>	Site observation
	12.9. <i>There is an effective means of calling for help available to all workers.</i>	Site observation
	12.10. <i>Emergency scenarios are planned for and tested. Plans must include the location, communication, transport and evacuation process.</i>	Documentation review
13.	Daily risks planned	Assessed by:
	13.1. <i>Daily meetings are held to assess changing risks on site and plan implementation of risk controls.</i>	Documentation review
	13.2. <i>The risk identification and reporting system is being used on site.</i>	Documentation review
	13.3. <i>Visitors sign in and receive health and safety instruction on all relevant controls including PPE and supervision.</i>	Documentation review
14.	Health risks managed	Assessed by:
	14.1. <i>Health risks have been identified and controls in place to minimise effect of work on health and health on work.</i>	Documentation review and worker interview
	14.2. <i>Work hours are managed to avoid fatigue. Priority is safety over performance – workers are provided opportunity to rest.</i>	Documentation review and worker interview
	14.3. <i>There is an inventory of hazardous substances and safety data sheets available. Where chronic conditions are a potential there is evidence of health monitoring.</i>	Documentation review and worker interview
	14.4. <i>There is a Drug and Alcohol policy that includes a requirement for testing.</i>	Documentation review

	14.5. <i>There is support given to workers who have had injuries or ill health to help them back to work.</i>	Worker interview
	14.6. <i>Where access permits, toilet facilities are provided. There is provision for workers to take a break out of bad weather and access potable water.</i>	Worker interview
15.	Crews competent	Assessed by:
	15.1. <i>The competency of all workers in the crew is documented in a competency matrix that records their status as either: "competent"; "under supervision"; or "under documented training".</i>	Documentation review
	15.2. <i>There is a competent person in charge of each operation and responsible for supervision.</i>	Documentation review
	15.3. <i>There are a minimum of 2 current first aiders on site.</i>	Documentation review
	15.4. <i>Lone workers have current first aid certificate</i>	Documentation review
	15.5. <i>All crew have training in nutrition and hydration; stress, fatigue, and substance abuse (equiv. to NZQA 22994)</i>	Documentation review
	15.6. <i>All drivers are licensed for the class of vehicle driven.</i>	Documentation review
	15.7. <i>Fire fighters have training in personal safety at vegetation fires (equiv. to NZQA 3285) or are under supervision by same.</i>	Documentation review
	15.8. <i>Agrichemical operators have training in handling (equiv. to "Growsafe") If class 6.1; 9.1 – 9.4 or to water then they are an "approved handler"</i>	Documentation review
	15.9. <i>Class 1 explosives operators are "approved handler" and hold a Controlled Substance License.</i>	Documentation review
	15.10. <i>Manual tree fellers hold NZQA 1270</i>	Documentation review
	15.11. <i>The head breaker out holds NZQA 1258</i>	Documentation review

Critical risks managed

If the contractor undertakes one of these critical risk activities they must be assessed against that standard. If a contractor does a number of these activities they can choose whether they want to have all standards assessed in one audit or elect to focus on one topic and programme in others for the next audit. Where documented evidence is required this will be assessed at the time of the site observation and will not form part of the formal documentation review process. [DEPENDING ON SOFTWARE PLATFORM THE CERTIFICATION REGISTER WILL SHOW CONTRACTORS WHO HAVE BEEN AUDITED FOR EACH CRITICAL RISK ACTIVITY]

16.	Tree Felling	Assessed by:
	16.1. There is an effective and tested means of communicating with tree fellers at all times.	Site observation
	16.2. The mean tree height is known and used to calculate the safe retreat position	Site observation
	16.3. Felling within 2 tree lengths of road has a traffic control plan.	Site observation
	16.4. Felling within 2 trees of power lines shall has an agreed felling plan with the asset/network owner.	Site observation
	16.5. Tree fellers must have at least level 3 NZQA competency. Lone working tree fallers must have Level 4.	Site observation
	16.6. There must be a criteria for authorising access into the danger zone and process to provide authorisation	Site observation
	16.7. There is a process for assessing risk controls to deal with: <ul style="list-style-type: none"> • Hung up trees • Stem rebound • Dead trees 	Site observation
	16.8. There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.	Site observation
	16.9. Tree fellers have first aid materials with them at all times, and if lone working are competent first aiders.	Site observation
	16.10. There is a site specific emergency response plan to recover someone from a tree felling incident.	Site observation
17.	Extraction and Breaking Out	Assessed by:
	17.1. There is a documented process for determining safe retreat positions for each line or days' work	Site observation
	17.2. There is a process for assessing the competency of all breaker outs. The head breaker out is competent to NZQA 1258.	Site observation
	17.3. The safe working load of the wire/rope has been calculated for cable harvesting	Site observation
	17.4. There is a maintenance plan for rigging and a process for identifying wear and tear.	Site observation
	17.5. The safe operating lead has been calculated for towers and yarders.	Site observation
	17.6. The safe load limit has been calculated for extraction.	Site observation
	17.7. There is a process to assess risk controls for a fouled drag.	Site observation
	17.8. There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.	Site observation
	17.9. There is first aid equipment and competent first aiders to respond to an extraction incident.	Site observation
	17.10. There is a site specific emergency response plan to recover someone from an extraction incident.	Site observation
18.	Processing and Loading	Assessed by:
	18.1. Lights work on machines and windows are clean	Site observation
	18.2. There is a well communicated skid plan that identifies safe areas, loading	Site observation

	zones, and flows.	
18.3.	The site has been planned to minimise reversing vehicles, provide sufficient turning space and maintain visibility.	Site observation
18.4.	The load limit and stability of log stacks has been determined and applied.	Site observation
18.5.	There is effective separation between workers and operating machines.	Site observation
18.6.	The risk of chainshot has been assessed and controls implemented to protect workers.	Site observation
18.7.	There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.	Site observation
18.8.	There is first aid equipment and competent first aiders to respond to a processing or loading incident.	Site observation
18.9.	There is a site specific emergency response plan to recover someone from a processing or loading incident.	Site observation
19.	Maintenance of Machinery	Assessed by:
19.1.	An area of flat and stable land is designated for planned machine maintenance.	Site observation
19.2.	The types of maintenance tasks suitable for onsite response have been identified, assessed and resourced with fit for purpose PPE and tools.	Site observation
19.3.	Workers with allocated machine maintenance tasks are assessed competent to do so.	Site observation
19.4.	Machinery maintenance is a scheduled activity and only undertaken when weather conditions are suitable.	Site observation
19.5.	There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.	
19.6.	There is first aid equipment and competent first aiders to respond to a machinery maintenance incident.	Site observation
19.7.	There is a site specific emergency response plan to recover someone from a machinery maintenance incident.	Site observation
20.	Driving	Assessed by:
20.1.	There is a clear expectation about driver behaviour, to include journey planning; speed restriction; impairment from fatigue, drugs and alcohol; wearing of seatbelts; and use of hand held devices.	Site observation
20.2.	There is a system for monitoring and responding to driver behaviour concerns.	Site observation
20.3.	There is a clear expectation about the specification requirements for vehicles used for work to include: safety rating; and protective features such as ABS and airbags.	Site observation
20.4.	There is a system to ensure all planned maintenance and inspection is up to date on work vehicles.	Site observation
20.5.	All drivers of vehicles are expected to do a pre-use check of the vehicle and report any faults.	Site observation
20.6.	All drivers of work vehicles are licensed for the class of vehicle driven.	Site observation
20.7.	There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.	
20.8.	There is a stocked first aid kit and emergency supplies in all work vehicles.	Site observation

FOR CONSULTATION

Certification Status

The result of the certification status will be either:



Certified

Contractor has completed all assessments and has no corrective action plan to address.



Conditionally certified

Contractor has completed all assessments and has an agreed corrective action plan in place.



Not certified

Contractor has either:

- Not completed all assessments
- Had more than 10 corrective actions within the field audit or an imminent risk of serious harm was evident
- Has not satisfactorily rectified an agreed corrective action plan

Completing all elements of the assessment and satisfying insurance conditions is mandatory for all contractors. If there are any gaps in this mandatory information the contractor will have a “Not certified” status.

Corrective Actions and Agreed Actions Plans

The Field Audit is where certification provides most value by identifying improvements in health and safety performance and provision of advice about gap closure.

If a Field Auditor does not find evidence that a Standard is being met they will mark it as “falls short”. Whenever there is a “falls short” the Auditor must agree with the site supervisor what action must be taken to provide evidence that the standard is being met. This conversation takes place at the close of the audit and the agreement of action and timeframe is recorded on an Audit Summary Sheet that both parties sign.

If a Field Auditor has not been able to ascertain whether employment conditions are being met they must raise a corrective action requiring the contractor to submit an Accountant Verified Employment Questionnaire. This questionnaire is provided on Safetree and was created by the Labour Inspectorate.

Where a Standard has been met but the Auditor sees opportunity for improvement they may provide recommendations and share good practice.

The maximum timeframe given for any corrective action is 3 months. Any corrective action that is not completed in the timeframe will move the contractors status back to “Not Certified”. A single application can be made to extend a corrective action timeframe at the Auditors discretion.

Significant Gaps

If there are more than 10 corrective actions in one audit or the Field Auditor observed a practice that had an imminent risk of serious harm, the Field Audit has significant gaps. Significant Gaps will result in the Contractor status “Not Certified”.

If there were more than 10 corrective actions the whole audit must be repeated. If there was observation of imminent serious harm then a targeted revisit must be undertaken.

Appeals and Escalations

The actions agreed at the field audit are all input into the system to generate an action plan that can track progress and send reminders to all relevant parties to follow up on something. If a contractor disagrees with an action that is generated they should consult with their Field Auditor in the first instance to discuss understanding of what was agreed at the time of the audit.

A contractor can challenge and raise concerns with any aspect of the assessment within their system including the corrective action plan. For example, if they do not agree with the level of insurance they have been required to provide they can “escalate” the matter. The System Administrator sends all escalations to the FISC Governance Panel to determine and advise on any necessary policy creation or amendment.

Field Auditors are accredited by FISC to deliver the Safetree Audit. They operate under a Code of Practice that requires them to act professionally and without bias. They are not for example allowed to “sell” products or services. They may recommend an improvement and signpost products that may assist but these should be presented as one of a number of options. If a contractor has concerns with the way an Auditor has conducted themselves they can escalate it to the Governance Panel for a review of their code of conduct. Auditors found in breach of their Code of Conduct will have their accreditation status removed.

Preparation for an audit

The following checklist can be used to prepare for the audit and know what will be required to be reviewed by the Safetree Field Auditor. Please either have these documents readily available on site for the arranged time of audit, or arrange an alternative meeting place for review of the documentation element of the audit. Where the documentation asked for is of an operational nature it will be required to be seen in use on site.

Documentation	Check
Principal/Contractor Contract Agreement	<input type="checkbox"/>
Pre-Site Hazard ID/Risk profile	<input type="checkbox"/>
Health and Safety Policy	<input type="checkbox"/>
Drug and Alcohol Policy (inc. testing)	<input type="checkbox"/>
Safety Meeting Records	<input type="checkbox"/>
Operational Hazard Management Records(tailgates)	<input type="checkbox"/>
Incident Reporting and Investigation Records	<input type="checkbox"/>
Auditing and Inspection Records	<input type="checkbox"/>
Hazardous Substances Inventory; SDS's; and Monitoring	<input type="checkbox"/>
Visitor Register	<input type="checkbox"/>
Competency Matrix (crew and individual competencies)	<input type="checkbox"/>
Emergency Procedures	<input type="checkbox"/>
Risk Control Plans appropriate to critical risks	<input type="checkbox"/>

Further Information

Information about Safetree Contractor Certification is provided on www.safetree.co.nz

All enquiries should be made to:



FORESTRY INDUSTRY SAFETY COUNCIL

Level 2, 93 The Terrace, PO Box 10029,
Wellington 6143
T: 04 282 1478

enquiries@fisc.org.nz www.fisc.org.nz

PART 1 – Documentation Review/Foreman Questions

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹
1.	How have you recorded and communicated your responsibilities (and those of the Principal PCBU) on site?		<p><i>There is evidence of the agreement between PCBU's (hiring client and contractor) defining responsibilities and duties. (11.1)</i></p> <p><i>Note: Who is responsible for road construction; bridge safety; pre-site hazard id. etc.</i></p>	
Corrective Action: (for items falling short only)				
2.	How do you know what workers are on site and what employment conditions apply to them?		<p><i>The employment status and entitlements of all workers is known. (11.2)</i></p> <p><i>Note: Evidence that they know the entitlements to manage for each worker on site.</i></p>	
Corrective Action: (for items falling short only)				
3.	How do you manage work hours and leave entitlements to ensure employment conditions are satisfied and workers are not fatigued?		<p><i>Minimum employment entitlements are met. (11.3)</i></p> <p><i>Work hours are managed to avoid fatigue. Priority is safety over performance – workers are provided opportunity to rest. (14.2)</i></p> <p><i>Note: There must be a method for monitoring hours worked and rested.</i></p>	
Corrective Action: (for items falling short only)				

¹ M – Meets STANDARD
FS – Falls Short of STANDARD
E- Exceeds

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E ²)
4.	How have you identified the significant hazards of the site prior to commencing operations here?		<p>The contractor has determined site controls based on a pre-site hazard identification. (12.1)</p> <p>Note: Pre-site hazard id may have been undertaken by another party but contractor must demonstrate they have referred to it when planning their operations.</p>	
Corrective Action: (for items falling short only)				
5.	How are activities and incidents that require notification to WorkSafe are identified and reported?		<p>There is a system to identify risk activities or incidents that require notification to WorkSafe NZ. (6.3)</p>	
Corrective Action: (for items falling short only)				
6.	How have you communicated your health and safety vision and commitments?		<p>There is a documented health and safety statement covering vision/goals and commitments of the contractor to its workers and the commitments required of its workers. (2.1)</p> <p>Note: Whilst a Policy is traditional the statement can be part of a resource by another name.</p>	
Corrective Action: (for items falling short only)				

² M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ³
7.	What information have your crew been provided about the critical risks of the job?		<p><i>Risks have been profiled by the PCBU and information about the most critical risks is provided in a meaningful way for workers to understand. (1.1)</i></p> <p><i>Note: This is higher level than daily risk planning/tailgates – is leadership by PCBU.</i></p>	
Corrective Action: (for items falling short only)				
8.	What do you use to assess daily risks including upset conditions?		<p><i>Daily meetings are held to assess changing risks on site and plan implementation of risk controls. (13.1)</i></p>	
Corrective Action: (for items falling short only)				
9.	What methods do you use in your daily risk planning to assess the significance of risks? How do workers know what different risk levels mean?		<p><i>There is an effective method for assessing and prioritising risks. (7.1)</i></p> <p><i>Note: May be within SOP's, risk register; tailgate templates or other materials they use that helps them understand likelihood and consequence.</i></p>	
Corrective Action: (for items falling short only)				

³ M – Meets STANDARD
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#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁴
10.	How do you know the risk controls you are selecting are the most effective option?		<p><i>There is a method for selecting controls based on their effectiveness. (8.1)</i></p> <p><i>There is evidence of change to risk controls in response to learning or feedback. (10.1)</i></p> <p><i>Note: There is evidence of regular checks that risk controls are in place and effective. A hierarchy of control is evident.</i></p>	
Corrective Action: (for items falling short only)				
11.	How do you inform workers about risk controls to adopt?		<p><i>Workers are informed about risk controls to adopt. Their understanding is intentional – planned for. (8.2)</i></p>	
Corrective Action: (for items falling short only)				
12.	What do you use to record health and safety competency requirements for the crew?		<p><i>The competency of all workers in the crew is documented in a competency matrix that records their status as either: “competent”; “under supervision”; or “under documented training”. (15.1)</i></p> <p><i>There is a competent person in charge of each operation and responsible for supervision. (15.2)</i></p> <p><i>There are a minimum of 2 current first aiders on site. (15.3)</i></p> <p><i>Lone workers have current first aid certificate. (15.4)</i></p>	

⁴ M – Meets STANDARD
FS – Falls Short of STANDARD
E - Exceeds

			<p><i>All crew have training in nutrition and hydration; stress, fatigue, and substance abuse (equiv. to NZQA 22994) (15.5)</i></p> <p><i>All drivers are licensed for the class of vehicle driven. (15.6)</i></p> <p><i>Fire fighters have training in personal safety at vegetation fires (equiv. to NZQA 3285) or are under supervision by same. (15.7)</i></p> <p><i>Agrichemical operators have training in handling (equiv. to "Growsafe") If class 6.1; 9.1 – 9.4 or to water then they are an "approved handler" (15.8)</i></p> <p><i>Class 1 explosives operators are "approved handler" and hold a Controlled Substance License. (15.9)</i></p> <p><i>Manual tree fellers hold NZQA 1270 (15.10)</i></p> <p><i>The head breaker out holds NZQA 1258 (15.11)</i></p>	
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#	Question (SOURCE IN BRACKETS)	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁵
13.	How do you identify and manage the risks from other parties' activities?		<i>There is evidence of consultation and collaboration of PCBU's to identify and monitor risks. (6.2)</i>	
Corrective Action: (for items falling short only)				
14.	How do you induct visitors onto the site?		<i>Visitors sign in and receive health and safety instruction on all relevant controls including PPE and supervision. (13.3)</i>	
Corrective Action: (for items falling short only)				
15.	How do you request, receive and respond to safety issues?		<i>There is an effective method to report and to respond to: safety issues; hazards; incidents; near hits; improvements. (6.1)</i> <i>The risk identification and reporting system is being used on site. (13.1)</i>	
Corrective Action: (for items falling short only)				
16.	Who can call STOP to work and under what circumstances?		<i>Workers are empowered to call STOP if they think something is unsafe. (4.3)</i> <i>Note: Evidence of clear messaging.</i>	
Corrective Action: (for items falling short only)				
17.	How do you investigate and learn from safety incidents?		<i>There is evidence of incident investigation and sharing learnings.(5.1)</i>	
Corrective Action: (for items falling short only)				

⁵ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

Safetree Field Audit v4



#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁶
18.	What health and safety meetings do you hold with workers to discuss safety performance and share ideas and learnings?		<p>There is evidence of structured safety meetings being held. (4.1)</p> <p>Note: Tailgates are not sufficient as they are about daily site planning.</p>	
Corrective Action: (for items falling short only)				
19.	What hazardous substances do you have on site and what informs your risk controls?		<p>There is an inventory of hazardous substances and safety data sheets available. Where chronic conditions are a potential there is evidence of health monitoring.</p> <p>Spill containment and stationary test certificate is provided for hazardous substances in stationary tanks over 5000L. (12.3)</p>	
Corrective Action: (for items falling short only)				
20.	What is your policy on drugs and alcohol and how do you communicate that?		There is a Drug and Alcohol policy that includes a requirement for testing. (14.4)	
Corrective Action: (for items falling short only)				
21.	What emergencies could happen on this site and how have you planned for them?		<p>Emergency scenarios are planned for and tested. Plans must include the location, communication, transport and evacuation process. (12.10)</p> <p>Note: must be documented</p>	
Corrective Action: (for items falling short only)				

⁶ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

Safetree Field Audit v4



#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁷
22.	What inspection and audits do you undertake of your health and safety systems?		<i>There is evidence of reviews of health and safety performance. (5.2)</i> <i>There is evidence of an inspection and audit programme of risk controls. (9.1)</i>	
Corrective Action: (for items falling short only)				

⁷ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

PART 2 – Workers Questions (H&S Representative or Trade Union Representative if applicable)

#	Questions for Workers	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁸
1.	<p>What is your employment arrangement with the contractor? (EC1)</p> <p>Establish:</p> <ul style="list-style-type: none"> • Do you have an employment agreement? • Do you get at least minimum wage? • Do you have any allowances deducted from your wage and if so what for? • Do you get holiday and leave entitlement? • Do you have control over your availability? • Do you invoice? • Do you work for other companies? 		<p><i>Minimum employment entitlements are met. (11.3)</i></p> <p><i>Note: Workers who do not have control of their work hours, fees, or availability receive employment entitlements of 1) at least the minimum wage, 2) holiday and leave entitlements and 3) an employment agreement.</i></p>	
Corrective Action: (for items falling short only)				
2.	<p>What are the tasks that your contracting company have identified as being the most important/ the ones that could cause serious harm?</p>		<p><i>Risks have been profiled by the PCBU and information about the most critical risks is provided in a meaningful way for workers to understand. (1.1)</i></p>	
Corrective Action: (for items falling short only)				

⁸ M – Meets STANDARD
FS – Falls Short of STANDARD
E - Exceeds

#	Questions for Workers	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ⁹
3.	How do you know what to do to control these critical risks? What resources do you use to help understand them?		Workers are informed about risk controls to adopt. Their understanding is intentional – planned for. (8.2)	
Corrective Action: (for items falling short only)				
4.	How do you report a safety issue or share ideas for doing things better?		<p>There is a method to seek workers suggestions for improvement and follow up to these suggestions. (5.3)</p> <p>There is an effective method to report and to respond to: safety issues; hazards; incidents; near hits; improvements. (6.3)</p>	
Corrective Action: (for items falling short only)				
5.	Who on this site has authority to stop work if there is concern about someone's health or safety?		Workers are empowered to call STOP if they think something is unsafe. (4.3)	
Corrective Action: (for items falling short only)				

⁹ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

#	Questions for Workers	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹⁰
6.	How do you get involved and consulted on health and safety decisions?		Workers have opportunity to engage in matters concerning their health and safety. (If a worker has requested it an election must be held for a HSR to ratio requirements). Issues raised are resolved. (4.3)	
Corrective Action: (for items falling short only)				
7.	Can you give me examples of times when a manager has intervened or called STOP?		There is evidence of managers responding to error and rewarding good practice. Learnings are communicated. (2.2) Note: Positive intervention.	
Corrective Action: (for items falling short only)				
8.	What's your normal work hours? Establish: <ul style="list-style-type: none"> • What is your travel time to site? • What rest do you get before being back at work? • When did you last take holiday? • What options do you have if you're feeling tired? 		Work hours are managed to avoid fatigue. Priority is safety over performance – workers are provided opportunity to rest. (14.2)	
Corrective Action: (for items falling short only)				

¹⁰ M – Meets STANDARD
FS – Falls Short of STANDARD
E -Exceeds

#	Questions for Workers	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹¹
9.	Are there any aspects of your work that may affect your health? Establish: <ul style="list-style-type: none"> • What noise do you work with? • Do you handle hazardous substances? • What health tests or monitoring have you had at work? • How's your health generally? 		<i>Health risks have been identified and controls in place to minimise effect of work on health and health on work. (14.1)</i> <i>Where chronic conditions are a potential there is evidence of health monitoring. (14.3)</i>	
Corrective Action: (for items falling short only)				
10.	What support is provided to you to get fit and working again if you were to suffer an injury or ill health? Have you examples of this?		<i>There is support given to workers who have had injuries or ill health to help them back to work. (14.5)</i>	
Corrective Action: (for items falling short only)				
11.	What toilet and rest facilities do you have access to?		<i>Where access permits, toilet facilities are provided. There is provision for workers to take a break out of bad weather and access potable water. (14.6)</i>	
Corrective Action: (for items falling short only)				

¹¹ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E - Exceeds

#	Questions for Workers	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹²
12.	What would enable you to do your job better?		Workers have sufficient time and support to meet health and safety goals. H&S representatives have time and support to perform their role. (3.1) The job is resourced with appropriate and maintained equipment to meet health and safety goals (3.2)	
Corrective Action: (for items falling short only)				

¹² M – Meets STANDARD
FS – Falls Short of STANDARD
E - Exceeds

PART 3 – Observation of Work Site

#	Question (SOURCE IN BRACKETS)	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹³
1.	Equipment condition		<i>The job is resourced with appropriate and maintained equipment to meet health and safety goals (3.2)</i>	
Corrective Action: (for items falling short only)				
2.	Staffing levels		<i>Workers have sufficient time and support to meet health and safety goals. H&S representatives have time and support to perform their role. (3.1)</i>	
Corrective Action: (for items falling short only)				
3.	PPE		<i>PPE is provided, worn correctly and in good condition. (3.3)</i> <i>Note: includes:</i> <ul style="list-style-type: none"> • <i>Outside clothing is high visibility</i> • <i>Footwear with protective toe cap; foot and ankle support; and traction</i> • <i>High vis safety helmets for quad bike operators; fellers; fire line; and active harvest site.</i> • <i>Hearing protection; gloves; fall restraint; chemical handling ppe; and respiratory devices provided for identified risks.</i> 	
Corrective Action: (for items falling short only)				

¹³ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question (SOURCE IN BRACKETS)	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade ¹⁴ (M/FS/E)
4.	Site Management		<i>There is clear marking of designated safe areas and danger zones. (12.2)</i>	
Corrective Action: (for items falling short only)				
5.	HSNO		<i>Spill containment and stationary test certificate is provided for hazardous substances in stationary tanks over 5000L. (12.3)</i>	
Corrective Action: (for items falling short only)				
6.	Visitors		<i>There is clear instruction signage for visitors with defined induction and escorting restrictions. (12.4)</i> <i>Note: should have been evident to you as a visitor.</i>	
Corrective Action: (for items falling short only)				
7.	Housekeeping		<i>The site is managed with care avoiding accumulations and obstructions (12.5)</i>	
Corrective Action: (for items falling short only)				

¹⁴ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade ¹⁵ (M/FS/E)
8.	Emergency Response		<p><i>There are stocked first aid kit/s on site, protected from contamination. (12.6)</i></p> <p><i>There are fire extinguishers of suitable size, pressure and in date. At least two 9kg foam (class B) if flammable liquids (12.7)</i></p> <p><i>There is an effective means of calling for help available to all workers. (12.8)</i></p> <p><i>Note: first aid kit can be in a vehicle if it remains in the work area at all times.</i></p>	
Corrective Action: (for items falling short only)				

¹⁵ M – Meets STANDARD
FS – Falls Short of STANDARD

PART 4 – Critical Risks (Must assess at least one)

TREE FELLING

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹⁶
1.	What methods of communication are you using whilst felling?		There is an effective and tested means of communicating with tree fellers at all times.(16.1)	
Corrective Action: (for items falling short only)				
2.	Do you know what the mean tree height is here?		The mean tree height is known and used to calculate the safe retreat position (16.2)	
Corrective Action: (for items falling short only)				
3.	What other hazards have you considered when setting your safe retreat position?		Felling within 2 tree lengths of road has a traffic control plan. (16.3) Felling within 2 trees of power lines shall has an agreed felling plan with the asset/network owner. (16.4)	
Corrective Action: (for items falling short only)				
4.	How have you assessed the competency of this tree feller?		Tree fellers must have at least level 3 NZQA competency. Lone working tree fallers must have Level 4. (16.5)	
Corrective Action: (for items falling short only)				

¹⁶ M – Meets STANDARD
FS – Falls Short of STANDARD
E – Exceeds STANDARD

	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹⁷
5.	Who is authorised to enter the danger zone and how do you authorise them?		There must be a criteria for authorising access into the danger zone and process to provide authorisation (16.6)	
Corrective Action: (for items falling short only)				
6.	What controls do you have to deal with: <ul style="list-style-type: none"> • hung up trees? • stem rebound? • dead trees? 		There is a process for assessing risk controls to deal with: Hung up trees; Stem rebound; Dead trees (16.7)	
Corrective Action: (for items falling short only)				
7.	How do you make sure tree fellers are fit for the task and unimpaired?		There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.(16.8)	
Corrective Action: (for items falling short only)				
8.	What First Aid Provision do you have to respond to tree felling incidents?		Tree fellers have first aid materials with them at all times, and if lone working are competent first aiders. (16.9)	
Corrective Action: (for items falling short only)				
9.	How do you recover someone?		There is a site specific emergency response plan to recover someone from a tree felling incident. (16.10)	
Corrective Action: (for items falling short only)				

¹⁷ M – Meets STANDARD
FS – Falls Short of STANDARD
E – Exceeds STANDARD

EXTRACTION & BREAKING OUT

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹⁸
1.	How do you decide where your safe retreat position is?		There is a documented process for determining safe retreat positions for each line or days' work (17.1)	
Corrective Action: (for items falling short only)				
2.	How have you assessed the competency of this breaker out?		There is a process for assessing the competency of all breaker outs. The head breaker out is competent to NZQA 1258. (17.2)	
Corrective Action: (for items falling short only)				
3.	How do you know what the safe working load is of this wire/rope?		The safe working load of the wire/rope has been calculated for cable harvesting (17.3)	
Corrective Action: (for items falling short only)				
4.	How do you identify and manage wear and tear/maintenance of rigging?		There is a maintenance plan for rigging and a process for identifying wear and tear. (17.4)	
Corrective Action: (for items falling short only)				

¹⁸ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ¹⁹
5.	How do you know if your operating in or out of lead?		The safe operating lead has been calculated for towers and yarders. (17.5)	
Corrective Action: (for items falling short only)				
6.	How do you know how big a payload you can extract?		The safe load limit has been calculated for extraction. (17.6)	
Corrective Action: (for items falling short only)				
7.	How do you deal with a fouled drag		There is a process to assess risk controls for a fouled drag. (17.7)	
Corrective Action: (for items falling short only)				
8.	How do you make sure breaker outs are fit for the task and unimpaired?		There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.(17.8)	
Corrective Action: (for items falling short only)				
9.	What First Aid Provision do you have to respond to an incident?		There is first aid equipment and competent first aiders to respond to an extraction incident. (17.9)	
Corrective Action: (for items falling short only)				
10.	How do you recover someone?		There is a site specific emergency response plan to recover someone from an extraction incident. (17.10)	
Corrective Action: (for items falling short only)				

¹⁹ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

PROCESSING & LOADING

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²⁰
1.	Are the machine lights working and windows clean?		<i>Lights work on machines and windows are clean (18.1)</i>	
Corrective Action: (for items falling short only)				
2.	Show me how you've organised and communicated your skid plan?		<i>There is a well communicated skid plan that identifies safe areas, loading zones, and flows. (18.2)</i>	
Corrective Action: (for items falling short only)				
3.	How have you designed the site to avoid logging trucks from coming into contact with workers?		The site has been planned to minimise reversing vehicles, provide sufficient turning space and maintain visibility. (18.3)	
Corrective Action: (for items falling short only)				
4.	How do you manage storage capacity of the log stack?		The load limit and stability of log stacks has been determined and applied. (18.4)	
Corrective Action: (for items falling short only)				
5.	How do you protect workers from being hit by operating machines?		There is effective separation between workers and operating machines. (18.5)	
Corrective Action: (for items falling short only)				

²⁰ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²¹
6.	How do you protect against chainshot?		The risk of chainshot has been assessed and controls implemented to protect workers. (18.6)	
Corrective Action: (for items falling short only)				
7.	How do you make sure machine operators are fit for the task and unimpaired?		There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol. (18.7)	
Corrective Action: (for items falling short only)				
8.	What First Aid Provision do you have to respond to incidents on the skid site?		There is first aid equipment and competent first aiders to respond to a processing or loading incident. (18.8)	
Corrective Action: (for items falling short only)				
9.	How do you recover someone from an incident on the skid site?		There is a site specific emergency response plan to recover someone from an processing or loading incident. (18.9)	
Corrective Action: (for items falling short only)				

²¹ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

MACHINERY MAINTENANCE

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²²
1.	What area have you dedicated for maintenance on machinery?		An area of flat and stable land is designated for planned machine maintenance (19.1)	
Corrective Action: (for items falling short only)				
2.	What tools do you keep onsite for maintenance and how do you know what you need?		The types of maintenance tasks suitable for onsite response have been identified, assessed and resourced with fit for purpose PPE and tools. (19.2)	
Corrective Action: (for items falling short only)				
3.	<i>Who undertakes maintenance on machines and how have you assessed them competent?</i>		Workers with allocated machine maintenance tasks are assessed competent to do so. (19.3)	
Corrective Action: (for items falling short only)				
4.	Are there any circumstances where you wouldn't do maintenance work?		Machinery maintenance is a scheduled activity and only undertaken when weather conditions are suitable. (19.4)	
Corrective Action: (for items falling short only)				

²² M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²³
5.	How do you make sure those maintaining machinery are fit to do so?		Workers undertaking high risk tasks are fit to perform the task and unimpaired.(19.5)	
Corrective Action: (for items falling short only)				
6.	What First Aid Provision do you have to respond to a serious injury?		There is first aid equipment and competent first aiders to respond to a machinery maintenance incident. (19.6)	
Corrective Action: (for items falling short only)				
7.	How do you recover someone from a significant incident?		There is a site specific emergency response plan to recover someone from a machinery maintenance incident (19.7)	
Corrective Action: (for items falling short only)				

²³ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

DRIVING

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²⁴
1.	What expectations have you set about driving behaviour and how?		There is a clear expectation about driver behaviour, to include journey planning; speed restriction; impairment from fatigue, drugs and alcohol; wearing of seatbelts; and use of hand held devices. (20.1)	
Corrective Action: (for items falling short only)				
2.	What monitoring do you do of driving behaviour?		There is a system for monitoring and responding to driver behaviour concerns. (20.2)	
Corrective Action: (for items falling short only)				
3.	What expectations do you set about vehicle specifications?		There is a clear expectation about the specification requirements for vehicles used for work to include: safety rating; and protective features such as ABS and airbags. (20.3)	
Corrective Action: (for items falling short only)				
4.	How do you ensure vehicles are maintained?		There is a system to ensure all planned maintenance and inspection is up to date on work vehicles. (20.4)	
Corrective Action: (for items falling short only)				

²⁴ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

#	Question	Observation (PLEASE DESCRIBE WHAT WAS OBSERVED, DISCUSSED OR PRODUCED AS EVIDENCE)	Test (STANDARD TO BE MET)	Grade (M/FS/E) ²⁵
5.	What checks do you expect the driver to do and how often?		All drivers of vehicles are expected to do a pre-use check of the vehicle and report any faults. (20.5)	
Corrective Action: (for items falling short only)				
6.	How do you assess the competency of drivers?		All drivers of work vehicles are licensed for the class of vehicle driven. (20.6)	
Corrective Action: (for items falling short only)				
7.	How do you make sure drivers are fit and unimpaired?		There is a system to assess workers fitness to work on high risk tasks including impairment from drugs and alcohol.(20.7)	
Corrective Action: (for items falling short only)				
8.	What First Aid Provision do you have in vehicles?		There is a stocked first aid kit and emergency supplies in all work vehicles. (20.8)	
Corrective Action: (for items falling short only)				

²⁵ M – Meets STANDARD
 FS – Falls Short of STANDARD
 E – Exceeds STANDARD

Safetree Field Auditor Application

For FISC Account Manager use ONLY to be completed once applicant has attended the Safetree Auditor Training Day

Applicant Details:

Surname:	First Names:	Preferred Names:
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth:	NZQA Number:	
<input type="text"/>	<input type="text"/>	
High-vis vest size:		
S <input type="radio"/> M <input type="radio"/> L <input type="radio"/> XL <input type="radio"/>		

For FISC Account Manager use only:	(Tick)
1 I have checked that the applicant's Proof of Identification (Birth Certificate or Passport) matches the name on the application and supporting evidence.	<input type="radio"/>
2 I have checked the applicant's Curriculum Vitae shows applicable experience and/or qualifications.	<input type="radio"/>
3 I have checked the applicant's evidence of NZQA level 4 in Health and Safety or higher.	<input type="radio"/>
4 I have checked the applicant's evidence of audit and assessment training.	<input type="radio"/>
5 I have checked the applicant's evidence of experience in the forestry industry.	<input type="radio"/>
6 I have checked the applicant's evidence of Professional Indemnity Insurance.	<input type="radio"/>
7 I have asked the applicant to read and sign the Code of Conduct. A copy is attached to this document.	<input type="radio"/>
8 I have checked that the applicant has successfully passed the Safetree Field Auditor Training.	<input type="radio"/>

FISC Account Manager Name:	Signed:	Date:
<hr/>	<hr/>	<hr/>

For Certification Panel use only:	(Tick one)
This application has been approved	<input type="radio"/>
This application has been denied	<input type="radio"/>
Reason for decision:	

Signed on behalf of Certification Panel

Name:

Signed:

Date:

Safetree Field Auditor Code of Conduct

Purpose

To communicate the integrity, objectivity, confidentiality, and competence expected of Safetree Auditors, as well as, to provide a means for the Auditors to pledge their commitment to these principles.

Integrity

The integrity of Safetree Auditors establishes trust and provides the basis for relying on their judgment. As a Safetree Auditor, I pledge to:

- 1. Perform my work with honesty, accuracy, fairness, and responsibility.**
- 2. Not engage in activities that might discredit the Safetree brand, Forest Industry Safety Council, or my organisation.**

Objectivity

Safetree Auditors must be objective in gathering, evaluating, and communicating information about the activities being examined. They must make a balanced and impartial assessment of all the relevant facts and not be unduly influenced by their interests, or those of others, in making judgments. As a Safetree Auditor, I pledge to:

- 3. Not join in any activity or relationship that may affect my unbiased assessment.**
- 4. Not accept anything that may impair, or appear to impair, my judgement.**
- 5. Disclose all the material facts to avoid any distortion of my audit report.**

Confidentiality

Safetree Auditors must respect the value and ownership of the information they receive and not disclose it without the appropriate authority (unless obligated for legal or professional reasons). As a Safetree Auditor, I pledge to:

- 6. Be prudent in the use and protection of the information acquired during my audit duties.**
- 7. Not use the information for personal gain or in any way to detriment the Safetree Contractor Certification scheme, Forest Industry Safety Council, or my organisation.**

Competence

Safetree Auditors must apply their knowledge, skills, and experience in the performance of their assessment duties. As a Safetree Auditor, I pledge to:

- 8. Engage only in audits where I possess the needed knowledge, skills, and experience.**
- 9. Perform audits in accordance with the procedures and practices of the Safetree Contractor Certification scheme.**
- 10. Continually improve my proficiency and the quality and value of my audit services.**
- 11. Assist other auditors under my supervision to develop their audit management skills.**
- 12. Report any complaints regarding my performance and address them to avoid recurrence.**

Signed:

Date:

Print Name: