



# PCBU Pre-qualification Guide



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PCBU Pre- Qualification	1.0	10/04/2019	H&S team

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## 1.0 Working Smarter Together

The Health and Safety at Work Act 2015 (HSWA) requires us to think about health and safety differently than what you may have previously done before. **Health and Safety is everyone's responsibility.** The only way we can achieve this is by working together.

South Port is committed to ensuring the health and safety of our workers, contractors, partners, visitors and others affected by our activities. It is our belief that everyone has the right to go home safe. We have also committed to achieving exemplary environmental performance in everything we do.

As part of this effort we Pre-Qualify all our Contractors before you are allowed to work on our properties or as part of our operations. We intend on making this process straight forward, easy as possible and transparent for you.



Pre-Qualify 

## 1.2 Under the new Legislation

HSWA very clearly outlines the requirements and responsibilities all employers now have. These include:

- Clearly outlining the responsibilities so there is no confusion or gaps.
- Identifies that cooperation is essential for risk management.
- Worker engagement and participation is an integral part of health and safety requiring worker input and representation.
- It clearly outlines duties and responsibilities of key persons who are able to contribute and control health and safety.



**HEALTH & SAFETY  
AT WORK ACT**

## 1.3 PCBU

A PCBU means a Person Conducting a Business or Undertaking. It's a broad concept used throughout HSWA to describe all types of modern working arrangements which we commonly refer to as businesses. Most New Zealand businesses, whether sole traders, self-employed or a large corporation are classed as a PCBU.



## 1.4 Primary Duty of Care

A PCBU must ensure, so far as reasonably practicable, the health and safety of workers, and that other people are not put at risk by its work. This is called the 'primary duty of care'. All PCBUs have this primary duty of care.

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The health and safety of workers who work for the PCBU (eg. employees or contractors, including their subcontractors or workers) while they are at work in the business or undertaking. This means that you must:

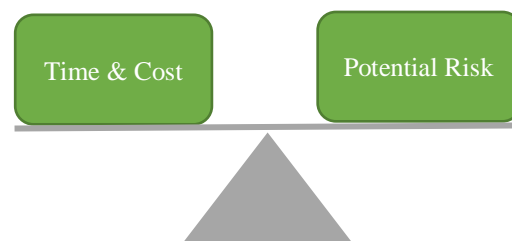
- Protect the safety of all workers and others;
- Maintain health and safety systems relevant to the business risks;
- Meet regulatory requirements; and
- Monitor health and safety performance.



## 1.5 Reasonably Practicable

There are two parts to what is reasonably practicable. Firstly you must consider what is possible in your circumstances to protect the health and safety of your workers and others. Secondly you must consider out of these possibilities what is reasonable to do in your circumstances. The following questions may help determine this:

- How likely is the risk to occur and how bad might the result be?
- What you know and what you ought to know as the specialist about the hazard/risk of your industry and the ways of eliminating or minimising it?
- What is the availability of the control measures, and how suitable are they for the task you are completing?



## 1.6 Your Obligations

You have a primary duty of care which includes, so far as reasonably practical, that there are effective practices for providing and maintaining:

- Providing and maintaining a work environment that is without risks to health and safety
- Providing and maintaining safe plant and structures
- Providing and maintaining safe systems of work ensuring the safe use, handling and storage of plant, structures and substances
- Providing adequate facilities for the welfare at work of
- Workers in carrying out work for the business or undertaking, including ensuring access to those facilities.



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## 1.7 Your Due Diligence

You are considered to be an officer if you have the ability to significantly influence the management of the business or substantial operational part of it. As a result you are required to demonstrate good due diligence.

Due diligence is ensuring that you meet the health and safety duties outlined by the legislation. Officers are required to make reasonable steps to:

- Gain an understanding of the nature of the operations of the business or undertaking of the PCBU and generally of the hazards and risks associated with those operations
- Ensure that the PCBU has available for use, and uses, appropriate resources and processes to eliminate or minimise risks to health and safety from work carried out as part of the conduct of the business or undertaking
- Ensure that the PCBU has, and implements, processes for complying with any duty or obligation of the PCBU under HSWA
- Ensure that the PCBU has appropriate processes for receiving and considering information



## 1.8 Your Workers Obligations

Everyone has a responsibility when it comes to health and safety. Whilst the primary duty of care lies with the PCBU, Workers must also take reasonable care of their own health and safety as well as that others. All workers are to comply with reasonable instruction provided by the PCBU and cooperate with any policy or procedure of the PCBU relating to health and safety at the Workplace.

A Worker is a person who carries out work for a PCBU including:  
An employee;

- A contractor or subcontractor;
- An employee of a contractor or subcontractor;
- An employee of a labour hire company who is assigned to work for the PCBU;
- An apprentice or trainee;
- A person undertaking work experience;
- A person completing a work trial or a volunteer worker;
- A PCBU is a worker if the person is an individual who carries out work in the business.



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## 2.0 South Port Pre-Qualification

Pre-Qualification is essential to ensuring that you, as our contractor, are committed to safety and the environment. It allows us to ensure that there are good systems in place to support your commitment and demonstrate that you and your workers are capable of working safely in practice.

As a Contractor you need to be able to show us that you understand your duties as outlined by the Health and Safety at Work Act 2015 and any environmental requirements related to your work.

We will provide approval for a determined period of time. This is based on a number of factors such as duration of works, associated risk, scope of work, number of subcontractors etc.

The concept of Pre-Qualification is not new and is recognised internationally as best practice for contractor management. It is an opportunity for you to review your businesses health and safety condition and its effectiveness.

Our aim is to make this process as simple for you as we can while still meeting our requirements under the legislation. The process is a positive way that we can get to know how your business works and for you to be aware of our requirements. This ensures that we are all on the same journey when you start with us. If you have any concerns or require clarification please contact us and we will provide assistance where appropriate. We can also direct you to some useful resources.



### 2.1 Benefits of Collaboration

Working together can help us reach our goals. Not only in health and safety for our Workers but also for achieving deadlines and preventing miscommunications.

Some of the benefits include:

- Understanding how each businesses activities affect safety risks or your own works;
- Elimination of any assumptions that may result in not meeting your duties with the legislation;
- Ensure the correct business is able to manage a specific risk.



### 2.2 The Pre-Qualification Process

The Pre-Qualification process is the first step in our collaboration process. It helps us ensure that we have the right people working with us.



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All Contractors and Port Users working for South Port now need to register in our on-line contractor management system before starting work.

The following information is needed from Contractors to be set-up in the system:

1. Company name and/or your trading name NZ Business number
2. Email address.

Once this information is received, you will be added to our Contractor Management system. A link will then be sent from 'Vault' with the subject line 'New Pre-Qualification'.

Before you begin the pre-qualification process vault contractor will prompt you to the terms and conditions which houses South Port **Safety Agreement**. We strongly recommend that you read the agreement and download a copy for your reference.

Next step is to click on the prequalification questionnaire and complete the questions. The questionnaire saves as you go, this means you are able to log out and back in prior to submitting. Supporting documentation must be attached to the questionnaire. When you submit the questionnaire it will be reviewed by a South Port Health & Safety Advisor. You may be advised for additional information if the information is incorrect or we need more clarification.

The prequalification system will grade the third-party's health & safety capability and publishes that grade in a database that can be viewed by South Port management. This allows for better contractor selection and an easier tendering process for everyone involved.

Once your assessment is complete you'll also receive a report with your grading, along with any suggestions for improvement from a South Port Health & Safety Advisor. We aim to turn around all online assessments in 5-10 working days. The grading framework:

- 0-49% - prequalification rejected
- 50-74% - additional information needed
- 75-100% prequalification accepted

You can visit Vault to view video tutorials outlining step-by-step instructions. please click on the hyperlink below:

<https://support.vaultgrc.com/hc/en-us/articles/115011307428-Portal-Registration-Prequalification-Contractor-Portal>

A Contractor's approval of their health and safety systems is valid for two years (subject to performance).



### Pre-qualification Grading Framework



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## 2.3 Pre-qualification Questionnaire Help Guide



**Important:** any evidence submitted for an assessment must be less than 12 months old.

**Note:** While carrying out vault contractor pre-qualification please use the questions and instructions for guidance. If you need any additional guidance please email [dherron@southport.co.nz](mailto:dherron@southport.co.nz)

QUESTIONS	INSTRUCTIONS
<b>1</b>  Do you use a Safety Management Plan, please upload a copy of your company's Health and Safety Policy and Procedures.	A Safety Management Plan, should be comprehensive and recent (within 12 months) example. The Safety Management Plan needs to include; a signed statement of intent from the director of a company, a hazard/risk register, a completed Task Analysis (T/A), Safe Work Method Statement (SWMS) or Job Safety Analysis (JSA), a record of training and competencies for workers, an emergency response plan, toolbox talk or pre-start discussion minutes, an inspection checklist, an accident/incident register and if used, a hazardous substances/products register or inventory.  <b>NB:</b> Please provide a copy of an up-to-date and relevant Health and Safety Policy and Procedures or Standard Operating Procedures (SOP) which is appropriate for your business.
<b>2</b>  How often are health and safety meetings or briefings held?	This question requires evidence that toolbox talks or safety meetings are taking place and how frequently. The higher the frequency, the higher the score you will achieve.  In order to verify frequency, we require at least three consecutive examples to be provided, i.e. if you are conducting weekly meetings, we need to see evidence such as minutes taken or diary entries taken from at least three consecutive weeks.  <b>NB:</b> If you do not employ any staff (sole operator) this question can be eliminated and will be marked as not applicable (N/A) by selecting the appropriate option.
<b>3</b>  Do you investigate all incidents and have a process to record incidents including near misses?	Please provide evidence such as completed incident investigation forms for any injuries or near misses that has occurred in the last 12 months.  If no incidents or near misses have been reported or investigated, please provide a copy of your incident register which has been signed off periodically showing no incidents or near misses have occurred during that time frame.
<b>4</b>  How do you manage the safety of contractors you may engage?	If you engage sub-contractors (other than labour only arrangements) please provide a copy of a SSSP or Safety Plan that has been completed by a sub-contractor and signed off by you and the sub-contractors.  There should also be a completed evaluation form filled in which shows that the SSSP has been reviewed to ensure all relevant information has been included.

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	<p><b>NB:</b> If you do not engage subcontractors, please select “We do not engage subcontractors” and this question will be marked as N/A.</p>
<p><b>5</b></p> <p>Are you and your workers trained and competent for all aspects of the work you are/will carry out?</p>	<p>Please provide evidence of you and your workers’ qualifications and/or training and competencies, which may also include years of experience.</p> <p>Workers should be trained to at least the minimum required by legislation, regulations and/or approved codes of practise, standards and industry best practise. Points can be awarded if you can demonstrate you are working towards attaining certain standards.</p> <p>Evidence should include all health and safety based training, skills training, trade licences (LBP, Gasfitters, Plumbers etc) trade qualifications, equipment and operator licences and years of experience.</p>
<p><b>6</b></p> <p>How do you record hazards and risks in your workplace?</p>	<p>Please provide evidence that a systematic process to identify and control hazards is in place.</p> <p>This should include copies of a hazard register or a site hazard identification report, which links hazards to a specific scope of works and shows it is regularly updated or checked.</p> <p>Where a hazard board is used, please upload at least three photos taken on different days to show the board is being checked and updated regularly.</p>
<p><b>7</b></p> <p>What inspections do you carry out for the work you do?</p>	<p>Please provide evidence that you have a structured approach which allows you to carry out inspections that may be required.</p> <p>In construction, this evidence should include copies of completed site inspection checklists or safety audits. At least <b>three examples</b> are required in order to verify frequency and follow-up. Vehicle, equipment, machinery and plant inspections may also be supplied.</p> <p><b>NB:</b> If you do not work on or visit worksites, other examples may include vehicle, venue, office or plant and machinery registers, showing inspection prior to work commencing or other regular inspections, which may be carried out in relation to the work you do.</p>
<p><b>8</b></p> <p>How do you plan for high risk or critical risk activities?</p>	<p>Please provide evidence that planning is carried out for significant hazardous work. This should include but not limited to:</p> <ul style="list-style-type: none"> <li>• remote or isolated tasks</li> <li>• atmospheres with the potential for fire or explosion</li> <li>• raised and falling objects</li> <li>• loose material in enclosed spaces</li> <li>• substances hazardous to health</li> <li>• notifiable works</li> </ul> <p>Evidence should include a copy of a detailed and comprehensive TA/JSA/SWMS and include signatures showing they have been informed and agree with the process.</p> <p><b>NB:</b> If significantly hazardous work is not undertaken by your company, please select the appropriate option and this question will be marked as N/A if agreed by your assessor.</p>

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<b>9</b>	<p>Please provide evidence from a registered health professional that health monitoring is carried out for your workers. Health monitoring will only be necessary for workers who are exposed to certain hazardous conditions, materials or substances as a result of the work they do.</p> <p>In the construction and related industries, this would normally include such things as hearing and lung function testing but could include blood tests for exposure to toxins or pathogens or mole mapping for skin cancer and vision tests.</p> <p>In order to gain full marks for this question, you need to provide evidence that both pre-employment and annual monitoring are carried out. Names may be blanked out to provide privacy for workers who are monitored.</p> <p><b>NB:</b> <i>If your workers are not exposed to hazardous conditions, please select the appropriate option below and this question will be marked as N/A if agreed by assessor.</i></p>
<b>10</b>	<p>Please provide evidence of a register which records all hazardous products, substances or material that is brought to, or used on, any worksite you operate in. A register must show how you manage and control this aspect of your work and needs to be completed before any work starts, and updated as changes occur.</p> <p>In order to gain full marks for this question you need to provide a comprehensive register complete with Material Safety Data sheets and Safe Work Method Statements.</p> <p><b>NB:</b> <i>If you do not use or store hazardous products, substances or materials, please select the appropriate option and this question will be marked as N/A if agreed by your assessor.</i></p>
<b>11</b>	<p>This questions is not assessed, however findings are are uploaded to your business profile on vault.</p>
<p>Has your company been investigated by Work Safe NZ or Maritime NZ in the last 5 years?</p>	<ul style="list-style-type: none"> <li>• Public Liability or General Liability Insurance (minimum cover of \$2m).</li> <li>• Motor Vehicle Insurance.</li> <li>• Professional Indemnity Insurance if applicable (minimum cover of \$2m).</li> </ul>
<b>12</b>	<p>Please provide current certificates of insurance for the following policies that relate to your business</p>

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