



MAKING HEALTH AND SAFETY WORK

## PERFORMANCE REQUIREMENTS

# Questions for senior managers

These questions are aimed at people working  
at the senior management level of the business  
being assessed

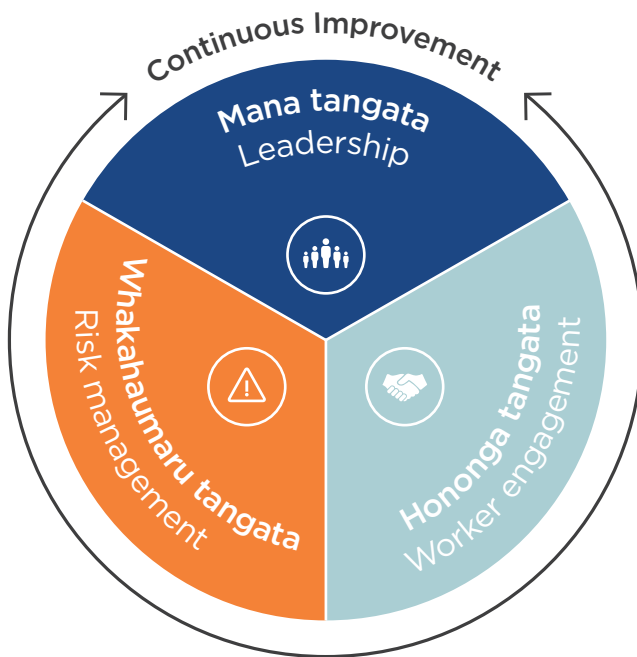
---

# How to use these questions

These questions have been developed for businesses to use for a number of purposes:

- As part of your own internal processes to improve your business's health and safety practices. For example, your health and safety staff could use these questions as a tool to engage with other staff at different levels in the organisation on health and safety.
- As a guide to the type of questions that people at different levels in your organisation may be asked if your business commissions a SafePlus Assessor to provide a SafePlus Onsite Assessment and Advisory Service. This could help people prepare for the assessment process and interviews with the Assessor.
- To inform decision-making on whether to commission a SafePlus Assessor to provide Onsite Assessment and Advisory Services.

Assessors may also find these questions a useful tool when they are commissioned to undertake an Onsite Assessment. They can be shared with the business before the assessment to help the business familiarise themselves with SafePlus, and make the assessment more efficient.



---

# Mana tangata | Leadership

## PERFORMANCE REQUIREMENT 1

---

### THE BUSINESS HAS EFFECTIVE GOVERNANCE AND LEADERSHIP IN HEALTH AND SAFETY

- 1.1 Officers effectively govern health and safety
- 1.2 Senior leaders/officers set a clear direction/vision for health and safety
- 1.3 Senior leaders understand the key health risks and safety risks in their business
- 1.4 Senior leaders monitor and verify risk control effectiveness
- 1.5 Senior leaders consider potential impacts on health and safety when making business decisions

## PERFORMANCE REQUIREMENT 2

---

### SENIOR LEADERS VISIBLY DEMONSTRATE THEIR COMMITMENT TO HEALTH AND TO SAFETY THROUGH THEIR ACTIONS

- 2.1 Senior leaders set and communicate health and safety performance expectations and enable/support others to achieve them
- 2.2 Senior leaders recognise good practice and performance
- 2.3 Senior leaders stated commitments and actions are connected
- 2.4 Senior leaders create an environment of trust and fairness within the business
- 2.5 Senior leaders readily address unsafe actions, practices and situations

## PERFORMANCE REQUIREMENT 3

---

### THE BUSINESS STRIVES TO CONTINUALLY IMPROVE HEALTH AND SAFETY PRACTICE AND PERFORMANCE

- 3.1 The business sets goals for health and safety improvement
- 3.2 The business plans and implements actions to meet health goals and safety goals
- 3.3 The business monitors and evaluates progress against its health goals and safety goals
- 3.4 The business, with workers or their representatives, reviews and evaluates its effectiveness in risk management and broader health and safety management
- 3.5 The business uses ongoing monitoring, review and evaluation activity to inform business decisions and change

### Key questions to consider include:

---

- How do you currently oversee your organisation's health and safety activities and performance?
- What is your vision for health and safety in your organisation?
- What are the occupational health risks and safety risks for your organisation?
- How does your organisation manage its health and safety risks?
- How do you consider potential health and safety implications when making business decisions?

### Key questions to consider include:

---

- How do you communicate health and safety performance expectations to people in your organisation?
- How do you recognise effective health and safety performance?
- How do you show your commitment to health and safety in your everyday actions?
- How do you create an open environment where employees feel comfortable to raise a health and safety concern?
- How do you effectively address unsafe health and safety actions, practices, and situations within your organisation?

### Key questions to consider include:

---

- What are your organisation's health and safety improvement goals?
- How does your organisation effectively plan and implement its health and safety goals?
- How does your organisation effectively monitor progress against its health and safety goals?
- How do you involve workers when reviewing how effectively your organisation is managing its health and safety risks?

## PERFORMANCE REQUIREMENT 4

---

### THE BUSINESS RESOURCES HEALTH AND SAFETY ACTIVITIES

- 4.1 The business plans, directs and provides resources for the achievement of its goals, plans and activities
- 4.2 The business ensures that health and safety roles, accountabilities and responsibilities are clear and understood in all business relationships
- 4.3 The business checks that workers (including contractors) have the competence and resources necessary to perform their roles
- 4.4 The business integrates health and safety into procurement
- 4.5 The business proactively accommodates employee incapacity and ill health.

### Key questions to consider include:

---

- How do we allocate appropriate financial resources to support effective health and safety activities? Do you have examples?
- How do we ensure that health and safety is addressed in our relationships with other businesses?
- How do you ensure that workers and contractors have the skills to carry out their jobs safely?
- How do we ensure that health and safety is part of procurement decisions (contractors/goods/equipment)?
- How do we accommodate injured or ill workers by providing alternate or restricted duties?

---

# Hononga tangata | Worker engagement

## PERFORMANCE REQUIREMENT 5

---

### THE BUSINESS COMMUNICATES EFFECTIVELY

- 5.1 The business's methods and content of communication meets the needs of workers
- 5.2 The business is responsive in resolving disagreements or issues
- 5.3 The business communicates and shares learnings

## PERFORMANCE REQUIREMENT 6

---

### THE BUSINESS ENGAGES WITH, AND EMPOWERS, WORKERS AND REPRESENTATIVES

- 6.1 The business ensures that workers have the opportunity for involvement in matters that may affect their health and safety
- 6.2 The business ensures that worker engagement, participation and representation practices are agreed, enabling, resourced and supportive
- 6.3 The business defines worker and representative authority to take action in matters that directly affect their health and safety
- 6.4 The business ensures workers and their representatives are effectively involved in decisions related to risk management
- 6.5 Workers and their representatives are directly involved in the setting and monitoring of health goals and safety goals for the business.

### Key questions to consider include:

---

- How do you communicate with workers on health and safety matters?
- How do you share health and safety learnings from incidents throughout your organisation?
- How do you resolve health and safety disagreements or issues?

### Key questions to consider include:

---

- How do you ensure workers are involved in health and safety matters that affect them?
- How do you ensure your organisation has an effective process for worker participation in health and safety that is well resourced and supported?
- When can your workers take action in matters that directly affect their health and safety? How have you communicated this to the workers?
- How are workers/safety reps involved in the setting and reviewing of the organisation's health and safety goals?

---

# Whakahaumaru tangata | Risk management

## PERFORMANCE REQUIREMENT 7

---

### THE BUSINESS, WITH WORKERS AND THEIR REPRESENTATIVES, IDENTIFIES WORK-RELATED HEALTH RISKS AND SAFETY RISKS

- 7.1 The business uses a variety of methods to identify health risks and safety risks
- 7.2 The business applies the methods to the identification of both health risks and safety risks.
- 7.3 The business applies the methods to the identification of risks in its supply chain and/or from the activities of other parties including contractors
- 7.4 The business applies the methods to the identification of risks associated with change, non-routine activities and emergencies

## PERFORMANCE REQUIREMENT 8

---

### THE BUSINESS, WITH WORKERS AND THEIR REPRESENTATIVES, ASSESSES HEALTH RISKS AND SAFETY RISKS

- 8.1 The business's methods for assessing risks are relevant, effective, understood and agreed
- 8.2 The business applies the methods for risk assessment to all risks
- 8.3 The risk assessment process focuses business attention and determines action

## PERFORMANCE REQUIREMENT 9

---

### THE BUSINESS, WITH WORKERS AND THEIR REPRESENTATIVES, TAKES A PROPORTIONATE APPROACH TO CONTROLLING HEALTH RISKS AND SAFETY RISKS

- 9.1 The business applies a hierarchy when controlling risks
- 9.2 The business identifies and applies a mix of controls to prevent, mitigate and respond to risks
- 9.3 The business risk assessments inform the identification and application of risk controls
- 9.4 The business identifies and uses guidance, standards and legal requirements when determining risk controls
- 9.5 The business consults, cooperates and coordinates with other parties including contractors, suppliers and those it works with or alongside when controlling risks

### Key questions to consider include:

- What methods do you use to identify health and safety risks to your organisation's workers?
- What are the occupational health risks that your workers may face?
- How have you identified where workers may be harmed by [Risk #]?
- How do you involve your workers in identifying health and safety risks?
- How do you identify the health and safety risks arising from contractors and suppliers?
- How do you ensure health and safety risks are identified when making changes to the way the organisation does things?
- How does your organisation involve its workers when identifying health and safety risks associated with changes in the way we do things?
- What are the health and safety risks, within your organisation, that could occur in emergency situations?

### Key questions to consider include:

- How does your organisation assess the risks associated with the health and safety hazards it has identified?
- How does your organisation involve its workers when assessing health and safety risks for the identified hazards?
- How does your organisation use risk assessments to decide on its actions when managing health and safety risks?

### Key questions to consider include:

- What are your organisation's health and safety improvement goals?
- How does your organisation effectively plan and implement its health and safety goals?
- How does your organisation effectively monitor progress against its health and safety goals?
- How do you involve workers when reviewing how effectively your organisation is managing its health and safety risks?

## PERFORMANCE REQUIREMENT 10

---

### **THE BUSINESS, WITH WORKERS AND THEIR REPRESENTATIVES, ENSURES CONTROLS ARE EFFECTIVE IN MANAGING HEALTH AND SAFETY RISKS**

- 10.1 The business checks that identified controls for health and safety risks are understood and implemented
- 10.2 The business checks that other parties understand and implement agreed risk controls
- 10.3 The business tests and verifies the effectiveness of risk controls
- 10.4 The business identifies and takes action to strengthen risk control effectiveness
- 10.5 The business investigates, learns and improves risk management from success and failure.

### **Key questions to consider include:**

- How does your organisation assess the risks associated with the health and safety hazards it has identified?
- How does your organisation involve its workers when assessing health and safety risks for the identified hazards?
- How does your organisation use risk assessments to decide on its actions when managing health and safety risks?





## Disclaimer

WorkSafe New Zealand, Accident Compensation Corporation and the Ministry of Business, Innovation and Employment ('the agencies') have undertaken all reasonable measures to ensure the information contained in this publication is reliable, but makes no guarantee, express or implied, of its accuracy, correctness, or completeness. The agencies may change, delete, add to, or otherwise amend the contents of this document at any time without notice.

This document is a guideline only. It should not be used as a substitute for legislation or professional advice (including but not limited to legal advice). The agencies accept no liability for any action taken on the basis of information in this document, or for any errors or omissions.

Title: SafePlus performance requirements: Questions for senior managers

ISBN: 978-1-98-852735-2 (online)

Published: April 2023 (Version 2)

PO Box 165, Wellington 6140, New Zealand

[www.safeplus.nz](http://www.safeplus.nz)



Except for the logos of WorkSafe, this copyright work is licensed under a Creative Commons Attribution-Non-commercial 3.0 NZ licence.

To view a copy of this licence, visit <http://creativecommons.org/licenses/by-nc/3.0/nz>

In essence, you are free to copy, communicate and adapt the work for non-commercial purposes, as long as you attribute the work to WorkSafe and abide by the other licence terms.



**Te Kāwanatanga o Aotearoa**  
New Zealand Government

# SAFE+

ISBN: 978-1-98-852735-2 (online)

---

[info@safepius.nz](mailto:info@safepius.nz)  
[safepius.nz](http://safepius.nz)