

# New Zealand Adventure Activities Certification Scheme

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*REQUIREMENTS FOR CERTIFICATION BODIES  
AUDITING ADVENTURE ACTIVITY OPERATORS'  
SAFETY MANAGEMENT SYSTEMS*

August 2023

VERSION 4.1



**Te Kāwanatanga o Aotearoa**  
New Zealand Government

**WORKSAFE**  
Mahi Haumarū Aotearoa

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Please note that this version of the New Zealand Adventure Activities Certification Scheme (version 4.1) was published on 31 August 2023 and is applicable from **1 April 2024**.

Note also that the technical competency table in Appendix C is applicable from **31 August 2023**.

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# 1.0

## Introduction

### **IN THIS SECTION:**

- 1.1 About this document
- 1.2 This document is based on, but has exceptions to, *ISO/IEC 17021*
- 1.3 Related documents
- 1.4 What the law says
- 1.5 How the Scheme fits

## 1.1 About this document

1. This is the New Zealand Adventure Activities Certification Scheme, version 4.1 (the Scheme). It is a WorkSafe New Zealand document that sets out our (WorkSafe's) expectations of certification bodies (recognised safety auditors). This version of the Scheme incorporates changes arising from the Health and Safety at Work (Adventure Activities) Regulations 2016 (the Regulations) as amended by the Health and Safety at Work (Adventure Activities) Amendment Regulations 2023. It has been endorsed by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ).
2. The Scheme refers to certification bodies, which is a term used in the *ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems*. The Health and Safety at Work (Adventure Activities) Regulations 2016 (the Regulations), refer to recognised safety auditors. Recognised safety auditors are certification bodies that we have recognised to perform safety audits of adventure activities.
3. Accreditation under the Scheme is the primary way certification bodies can demonstrate to us that they are likely to meet the requirements to be recognised under the Regulations.

## 1.2 This document is based on, but has exceptions to, *ISO/IEC 17021*

4. The Scheme is based on *ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems (ISO/IEC 17021)*. *ISO/IEC 17021* is the international standard for auditors certifying management systems, including safety management systems.
5. The Scheme details the additional requirements and guidance that are needed to apply *ISO/IEC 17021* to the audit and certification of adventure activity operators (operators) in New Zealand. The Scheme has exceptions to *ISO/IEC 17021* where it is not possible to meet the requirements within the context of the New Zealand adventure activities sector.
6. The Scheme makes the following exceptions to the *ISO/IEC 17021* listed below:

### *ISO/IEC 17021-1* s9.1.3.2

- a. For initial certification, that is, the first audit cycle, the Scheme requires a surveillance audit in year 1 but not in year 2.
- b. For recertification audits, that is, subsequent audit cycles, surveillance audits are optional. However, the certification body may decide a surveillance audit is necessary in any year of the audit cycle.

### *ISO/IEC 17021-1* s9.2.2.2.2

- a. The Scheme does not require an auditor to always accompany a technical expert, although they may choose to do so when practicable.

### *ISO/IEC 17021-1* s9.6.5

- a. The Scheme does not itself enable certification bodies to withdraw or suspend safety audit certificates as these actions have no legal effect under the Regulations and would not automatically result in suspension or cancellation of registration.
- b. However, the Scheme acknowledges that certification bodies are required to meet accreditation requirements as part of their accreditation with JAS-ANZ so may need to apply clause 9.6.5 of *ISO/IEC 17021-1:2015*, and sets out the natural justice considerations that a certification body should apply if they choose to do so.

### 1.3 Related documents

7. The Scheme must be read alongside:
  - a. [Health and Safety at Work Act 2015 \(HSWA\)](#)
  - b. [Health and Safety at Work \(Adventure Activities\) Regulations 2016](#)
  - c. [ISO/IEC 17021-1 Conformity assessment – Requirements for bodies providing audit and certification of management systems](#)
  - d. [The Safety Audit Standard – Safety management system requirements for adventure activity operators](#) which sets out our expectations of operators and their safety management systems (SMS)
  - e. [IAF MD1: Certification of Multiple Sites Based on Sampling](#)
  - f. [IAF MD2: Transfer of Accredited Certification of Management Systems](#)
  - g. [IAF MD4: Use of Computer Assisted Auditing Techniques \(CAAT\) for Accredited Certification of Management Systems](#)
  - h. [IAF ID 3 Management of Extraordinary Events or Circumstances Affecting AB's, CAB's and Certified Organizations](#)
8. Below is a list of recommended readings to be read alongside the Scheme:
  - a. [ISO 21101 Adventure Tourism Safety Management System Requirements](#)
  - b. [ISO 21102 Adventure Tourism Leaders Personnel Competence](#)
  - c. [ISO 21103 Adventure Tourism Information for Participants](#)
  - d. [How we administer the adventure activities regime](#) which sets out the way WorkSafe administers and regulates adventure activities.
  - e. [What we mean by adventure activity](#) which clarifies how WorkSafe interprets the definition of an adventure activity in the Regulations.

Please ensure that you refer to the most recent versions of any documents referenced in this scheme

### 1.4 What the law says

9. Safety in the adventure activities sector is mainly regulated through HSWA and the Regulations.
10. Operators are subject to the requirements of HSWA, which establishes general work health and safety obligations for all persons conducting a business or undertaking (PCBUs) in New Zealand.
11. The primary duty under HSWA is for all PCBUs to ensure, so far as is reasonably practicable, that their work does not put the safety of their workers or other persons at risk. This includes ensuring equipment provided is safe and that workers have the necessary training to manage the risks of their work.
12. Sector-specific requirements for adventure activities are provided through the Regulations. The Regulations require all operators to pass an audit of their safety management systems at least every three years and register their operations with us. The Regulations make it an offence for operators to provide or offer to provide an adventure activity unless registered.
13. Under the Regulations we can recognise safety auditors to perform the safety audits. To recognise a safety auditor we must be satisfied that:

- a. the person or organisation has the appropriate experience and qualifications to carry out the proposed audits
  - b. the person or organisation is likely to carry out the audits in a way that is objective and that promotes safety and the public interest
  - c. the person or organisation is unlikely to have a conflict of interest that cannot be appropriately managed in carrying out the audits and in doing anything else that the person or organisation does or is likely to do, and
  - d. it is otherwise appropriate to recognise the person or organisation as a safety auditor.
14. How we administer the adventure activities regime sets out what we consider when we apply these criteria.

## 1.5 How the Scheme fits

15. Accreditation under the Scheme is one way safety auditors can demonstrate to us that they are likely to meet the requirements to be recognised under the Regulations.

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# 2.0

## Roles and responsibilities under the Scheme

### **IN THIS SECTION:**

2.1 WorkSafe

2.2 JAS-ANZ

2.3 Certification bodies



16. The roles and responsibilities of the key parties under the Scheme are set out below.

## 2.1 WorkSafe

17. We are the regulator and Registrar for adventure activities.
18. Our responsibilities are to:
- a. Own and maintain the Scheme.
  - b. Provide direction to JAS-ANZ and certification bodies so they understand what we expect of them and so the adventure activities regime operates effectively.
  - c. Deliver the Registrar functions and powers under the Regulations, including whether to register, suspend or cancel the registration of operators.
  - d. Perform our regulatory functions as set out in the WorkSafe New Zealand Act 2013, and related legislation and regulations. This includes monitoring operators for compliance with HSWA and the Regulations.
  - e. Resolve uncertainty about whether an activity needs to be registered.
  - f. Monitor the certification bodies in conjunction with JAS-ANZ.
  - g. Consult and advise on the scope of activities and technical competency requirements.

## 2.2 JAS-ANZ

19. JAS-ANZ is an accreditation body and determines whether to accredit a certification body under the Scheme.
20. Their responsibilities are to:
- a. accredit certification bodies
  - b. report against accreditation assessment and monitoring activities
  - c. support us in our role as regulator and Registrar for adventure activities.

## 2.3 Certification bodies

21. Certification bodies audit operators and determine whether to certify them.
22. Their responsibilities are to:
- a. independently verify and document the relevant qualifications, attestations (if applicable), knowledge, and skills of their personnel (safety auditors and technical experts)
  - b. ensure they have sufficient personnel (safety auditors and technical experts) with the skills and knowledge we expect, and that those personnel maintain their competence and expertise
  - c. audit operators to establish whether an operator complies with the Safety Audit Standard relevant to the adventure activity or activities being audited
  - d. use their criteria and processes to select audit teams that have the appropriate qualifications, knowledge, and skills for the audit they plan to do
  - e. keep records of the audits they do, including the composition of their audit teams and the reasons for that composition
  - f. decide whether to certify the operator, and identify any conditions needed. The decision whether to certify the operator is based on:
    - i. the assessment provided by the individual safety auditors employed by the certification bodies
    - ii. whether the operator's safety management system and operational practices have been found to conform to the relevant Safety Audit Standard

- g. Notify the operator in writing of whether they have passed their audit, and if not (that is, where the certification body hasn't been able to certify the operator) the reasons for that. The audit process is summarised in [Appendix F: The audit process](#)
- h. Monitor certified operators for continuing compliance during the period that the certification is valid.
- i. Share information with us so we have the information we need as the Registrar and regulator, and so issues are identified and addressed and confidence in the adventure activities regime is maintained.
- j. Manage their health and safety, including of safety auditors and technical experts when they do audits.
- k. Do what we expect of them, as set out in this Scheme and any other agreements we have with them (if any).

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## 3.0

# What we expect of certification bodies

- 3.1 Certification bodies and their personnel will act in good faith
- 3.2 Certification bodies will have processes and practices in place to provide us with assurance
- 3.3 Certification bodies will meet the requirements of this Scheme
- 3.4 Certification bodies will have sufficient personnel with appropriate knowledge and competence
- 3.5 Certification bodies will carry out audits objectively and in a way that promotes safety and the public interest
- 3.6 Certification bodies will manage conflicts of interest

### 3.1 Certification bodies and their personnel will act in good faith

23. We expect certification bodies and their personnel to act in good faith.

This means they will:

- a. be open and honest with us, JAS-ANZ, and operators
- b. treat each operator fairly and with respect
- c. ensure their safety auditors and technical experts agree to a code of conduct – see the list of requirements in [Appendix B: Code of conduct](#)
- d. keep good records that show the facts and outcomes of certification-related appeals and provide these records to us as Registrar
- e. share all relevant Scheme updates to audit team personnel (employed or contracted).

### 3.2 Certification bodies will have processes and practices in place to provide us with assurance

24. We expect certification bodies to have processes and practices that provide us with assurance. This means they will maintain procedures that detail:

- a. The action they'll take if they perceive a potential breach of the law in adventure activities and ancillary services. This includes when they'll:
  - i. recognise breaches as a nonconformity
  - ii. communicate the potential breach to the operator
  - iii. inform us of the potential breach
- b. How they'll manage information they receive, including confidential and sensitive information.

25. We expect certification bodies to share information with us, including:

- a. the Operator's Profile [Appendix J: Operator's profile](#) as soon as possible once the contract for services has been agreed
- b. information about any imminent risk of a notifiable event identified during an audit. This should be shared with us as soon as possible
- c. information about whether the operator has passed the audit or not (that is, where the certification body was unable to certify the operator), and the associated audit reports
- d. telling us if they become aware that an operator has provided false information or evidence to obtain a safety audit certificate, or hasn't complied with a condition of their current safety audit certificate. This should be shared with us within five days of the certification body becoming aware
- e. schedules of planned audit activities, detailing the names of the operators and anticipated audit dates, and any related information, when we request it.

### 3.3 Certification bodies will meet the requirements of this Scheme

26. We also expect certification bodies working under the Scheme to comply with the mandatory documents listed in paragraph seven above.

### 3.4 Certification bodies will have sufficient personnel with appropriate knowledge and competence

27. We expect certification bodies to be able to demonstrate that their safety auditors and technical experts:

- a. have relevant professional development through regular participation in adventure activity audits
- b. have professional development education and training relevant to their scope of auditing competencies
- c. continue to maintain competency requirements, for those personnel with technical competencies, see [Appendix C: Knowledge and competency requirements](#)

### Technical competency required

28. The certification body must make sure their audit teams:

- a. include a technical expert whose technical competency is relevant to the specific activity that is being audited for the initial audit and if deemed necessary for subsequent audits. This may be the safety auditor if they hold the relevant technical competency

Note: The relevance of technical competency to specific and comparable activities is as defined in [Appendix C: Knowledge and competency requirements](#)

- b. are competent to assess the safety management system's application to any relevant ancillary services provided by the operator – for a definition of ancillary services see [Appendix A: Definitions](#)
- c. follow the certification body's guidance about when and how to audit ancillary services
- d. keep safety auditors-in-training under the supervision of a fully-trained safety auditor (this can be the audit team leader). The fully-trained safety auditor is ultimately responsible for the performance of audit duties.

29. It is not necessary for all audit team members to visit all locations where the activities being audited are conducted – also see [Appendix E: Roles in an audit team](#) IAF MD 1 (multi-site sampling) and IAF MD 4 (ICT).

## 3.5 Certification bodies will carry out audits objectively and in a way that promotes safety and the public interest

30. We expect certification bodies to carry out audits objectively, and in a way that promotes safety and the public interest. This means they will:

- a. have a process to ensure they conduct their certification business in a way that is objective and that promotes safety and the public interest. This includes ensuring that:
  - i. safety auditors and technical experts seek objective evidence and do not rely on familiarity with an operator
  - ii. staff will not use or have access to confidential information unless they are bound by a current contract and a statement of confidentiality, and they only access and use confidential information when necessary for their work
  - iii. they base their decisions on relevant and objective evidence
  - iv. their decisions are not influenced by other interests or parties
  - v. they align their communications with the objective of the audit as outlined in [Appendix F: The audit process](#)

## 3.6 Certification bodies will manage conflicts of interest

31. A certification body must:

- a. be impartial, and be perceived to be impartial
- b. identify any conflicts of interest, and manage any conflicts of interest in accordance with *ISO 17021*.

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# Appendices

## **IN THIS SECTION:**

**Appendix A:** Definitions

**Appendix B:** Code of conduct

**Appendix C:** Knowledge and competency requirements

**Appendix D:** Attestation of technical competence

**Appendix E:** Roles in an audit team

**Appendix F:** The audit process

**Appendix G:** Procedure for the certification of operators

**Appendix H:** Procedure for monitoring operators

**Appendix I:** Audit personnel register

**Appendix J:** Operator's profile

**Appendix K:** Declaration of conformity

**Appendix L:** Good practice sources

## Appendix A: Definitions

1. The Scheme uses some terms specific to the international standards and the conformity industry which differ from those used in the Regulations and other WorkSafe documents.
2. The following terms and definitions apply to the Scheme.

TERM	DEFINITION
<b>Adventure activity</b>	As defined in <a href="#">regulation 4</a> of the Regulations.
<b>Ancillary services</b>	<p>Services provided by an operator to participants that are integral to the operator's safe management of their adventure activities and involve a real, serious risk to health and safety, for example, all forms of transport.</p> <p><b>Note:</b> Most catering and accommodation services will not be integral to the safe management of the activity. However, tent and hut-type accommodation will most likely be central to participation in the adventure activity rather than it being an ancillary service.</p>
<b>Audit</b>	The systematic, independent, documented process for obtaining records, statements of fact or other relevant information, and assessing them objectively to determine the extent to which specific requirements are fulfilled ( <i>ISO/IEC 17000</i> , clause 4.4).
<b>Audit team</b>	One or more safety auditors conducting an audit, supported if needed by technical experts.
<b>Auditor</b>	Person who conducts an audit.
<b>Certification body</b>	Referred to as recognised safety auditor in the Regulations – also referred to as Conformity Assessment Body (CAB).
<b>Client</b>	<p>Further to the definition in ISO/IEC 17021-1, clause 3.1, the client may be a business unit of an operator.</p> <p><b>Note:</b> An operator may hold separate safety certificates for separate business units within the same legal entity.</p>
<b>Comparable adventure activities</b>	Different adventure activities that involve broadly similar risks and hazards, and involve similar risk management (although each activity may have some unique hazards). These are grouped together in the Technical Competency Table in <a href="#">Appendix C: Knowledge and competency requirements</a>
<b>Condition</b>	A specific requirement the safety auditor places on the certificate that the operator must meet and continue to meet.
<b>Declaration of conformity</b>	The operator's confirmation that they are meeting the requirements of (conforming with) the Safety Audit Standard and any conditions on certification – see the <a href="#">Appendix K: Declaration of conformity</a> and the Operator's declaration form.
<b>Good practice</b>	<p>The range of actions that are currently accepted within the adventure and outdoor sector as appropriate and practical means to manage the risk of harm to staff, participants, and visitors.</p> <p>Good practice should also reflect relevant standards recognised within the sector for the safe provision of adventure activities where these exist. This may include activity safety guidelines, codes of practice or conduct, other recognised guidelines, and accepted professional practices (Safety Audit Standard). See <a href="#">Appendix L: Good practice sources</a></p>
<b>Hazard and significant hazard</b>	See definition for <a href="#">hazard</a> from HSWA.
<b>Incident</b>	<p>Event that caused or could have caused harm to any person (from the Safety Audit Standard).</p> <p><b>Note:</b> An incident that did not cause harm is also called a <b>near miss, near hit, close call, or near-accident, or similar</b>. A near-miss is an incident in which no personal injury was sustained, but where, given a slight shift in situation, injury or death may have occurred.</p>

TERM	DEFINITION
<b>Inspection</b>	Examining an adventure activity and determining its conformity with specific requirements or, by using professional judgement, determining its conformity with good practice.  <b>Notes:</b> i. Inspection of an adventure activity may include inspection of sites, persons, clothing and equipment, and practice. ii. Inspection may include witnessing or participating in the delivery of specific adventure activities in part or in full. (adapted from <i>ISO/IEC 17000:2004</i> )
<b>Notifiable event</b>	A notifiable <u>event</u> is defined in section 25 of HSWA.
<b>Notifiable incident</b>	A <u>notifiable incident</u> is defined in <u>section 24</u> of HSWA and includes incidents declared by <u>regulation 19A</u> of the Regulations..
<b>Notifiable injury or illness</b>	A <u>notifiable injury or illness</u> is defined in <u>section 23</u> of HSWA and includes any injury or illness declared by <u>regulation 19B</u> of the Regulations.
<b>On-site evaluation</b>	Auditing activities, including inspection, conducted at the operator's place of work to obtain and evaluate evidence to determine the extent to which the operator's safety management system for the delivery of adventure activities complies with the relevant safety standards.
<b>Operation</b>	The business and organised action, process, or manner of providing an adventure activity and ancillary service (from the Safety Audit Standard).
<b>Operator</b>	An adventure activity operator or operator means a 'person conducting a business or undertaking' or 'PCBU' who provides an <u>adventure activity</u> to a participant. The meaning of <u>PCBU</u> is defined in section 17 of the HSWA.
<b>Other outdoor activity</b>	A land-based or water-based activity, the main purpose of which is the recreational or educational experience of the participant, except activities defined in the Regulations as adventure activities.
<b>Participant</b>	Person who participates in an adventure activity and is not staff (from the Safety Audit Standard).
<b>Provide</b>	As defined in section 3 of the <u>Regulations</u> meaning where an operator: a. directly provides the activities in person, or b. indirectly provides the activities through a worker or any other person.
<b>Registrar</b>	<u>Registrar</u> means WorkSafe, or a person an organisation recognised by WorkSafe to: a. keep and maintain the public register of adventure activity operators b. determine applications for registration and renewal of registration as an adventure activity operator c. cancel or suspend the registration of adventure activity operators in appropriate situations d. make changes to adventure activity operators' registrations in appropriate situations e. impose, vary, or withdraw conditions of registration in appropriate situations f. monitor adventure activity operators' compliance with conditions of registration.
<b>Registration</b>	Recording an operator as <u>authorised</u> to offer to provide or provide the adventure activities specified on the safety audit certificate provided by the certification body.
<b>Regulations</b>	The Health and Safety at Work (Adventure Activities) Regulations 2016.
<b>Risk</b>	The effect of uncertainty on safety objectives (from <i>ISO 31000:2009</i> ).  <b>Note:</b> Where this document also uses 'risk' in an operational context, rather than an auditing context, 'risk' refers to one or more potential undesired, harmful events.
<b>Safety audit standard</b>	A standard published by notice in the Gazette under regulation 19 of the Regulations.  <b>Note:</b> Safety Audit Standards specify the requirements that operators must comply with to eliminate or minimise risks when providing adventure activities.
<b>Safety audit certificate</b>	As required by the Regulations, a statement that specifies: a. that an operator's safety management systems for delivery of adventure activities were audited b. the period for which the audit is valid, and c. the conditions (if any) to which the certificate is subject.
<b>Safety management system</b>	Documented management system for directing and controlling an operation in regard to safety (from the Safety Audit Standard).



<b>TERM</b>	<b>DEFINITION</b>
<b>Site</b>	A place where an operator provides adventure activities and ancillary services in part or in full. (This varies from IAF MD1 definition but it is consistent with IAF MD1, clause 2.2 and 2.3)
<b>Special audit</b>	An audit organised during the certification cycle based on a change of circumstances.
<b>Surveillance activities</b>	Mechanisms in which the certification body monitors a certified operator's continued compliance with the certification requirements, including: <ul style="list-style-type: none"> <li>a. surveillance audits</li> <li>b. declarations of conformity with the certification requirements</li> <li>c. compliance with certification conditions that require actions by the operator</li> <li>d. information related to safety that is received from operators, WorkSafe, or other persons.</li> </ul>
<b>Surveillance audit</b>	An audit based on an assessment of the operator's safety performance and what is necessary to manage risk, ensure compliance with the Safety Audit Standards and ensure resolution of any conditions on certification.  Having a surveillance audit may be a condition on an operator's certification.
<b>Technical advisor</b>	A person or group of people that has professional credentials such as a high-level, nationally or internationally recognised qualification, or extensive knowledge, skills and experience to assist an operator with various technical tasks, including advising and reviewing the policies, procedures and practices relating to an activity (and may include advising on natural hazards if a serious risk has been identified arising from a natural hazard in the location(s) where the activity is conducted).
<b>Technical expert</b>	A person who is recognised by the certification body as having very high skills and knowledge of a specific adventure activity or comparable activities as detailed in <a href="#">Appendix E: Roles in an audit team</a>
<b>Workplace</b>	As defined in <a href="#">section 20</a> of HSWA.
<b>Worker</b>	As defined in <a href="#">section 19</a> of the HSWA.

## **Appendix B: Code of conduct**

Safety auditors and technical experts agree to:

1. act professionally and report findings in a consistent and unbiased manner, for example, not communicate false, erroneous, or misleading information that may compromise the integrity of the audit
2. act in accordance with the New Zealand Adventure Activities Certification Scheme requirements and guidelines
3. only discuss or disclose any information relating to an audit outside the Scheme when required by law, or when authorised by the client
4. only provide audit services which are within their scope of competence and to correctly represent their own, or any other individual's qualifications, competence, or experience
5. disclose to the certification body any current or prior professional or personal relationships that may be seen as an actual or perceived conflict of interest or that may influence their judgement
6. not enter into any activity that may conflict with the best interests of JAS-ANZ or the certification body, or that would prevent the safety auditor performing their duties objectively
7. adhere to the requirements of the Health and Safety at Work Act 2015, the Health and Safety at Work (Adventure Activities) Regulations 2016, and all other relevant legislation, regulations, guidelines, codes, and good practice standards
8. not promote or represent any business interest, or any entity with which they have an interest or may have an interest, while conducting audits
9. not accept any inducement, commission, gift, or any other benefit from any interested party while conducting audits
10. not act in any way that would prejudice the reputation of WorkSafe, JAS-ANZ, or the certification body
11. cooperate fully with any inquiry in the event of a complaint about their performance as a safety auditor or technical expert, or any alleged breach of this code
12. accept that operators have the freedom to select and change their certification body, and not to place any undue influence on operators when they are making a decision in this respect
13. refrain from making any adverse comments about WorkSafe, JAS-ANZ, or any safety auditors or certification body
14. respect adventure activity participants' and staff rights during the course of an audit.

## Appendix C: Knowledge and competency requirements

1. This appendix sets out:
  - a. how the certification body determines the competence of audit team members, and the certification decision maker
  - b. what is required when attestations are used
  - c. competency requirements, which are defined in accordance with, and are additional to, *ISO/IEC17021-1 Annex A*.

### How to determine competence

2. The certification body must engage on an on-going basis sufficient personnel such that their combined technical competency is relevant to each of the adventure activities the certification body is accredited for under the Scheme.
3. The certification body:
  - a. may employ or contract personnel
  - b. must maintain a register of their personnel – see the example form [Appendix I: Audit personnel register](#)
  - c. must conduct an annual performance review for all employed and contracted safety auditors – see *ISO/IEC 17021-1 Annex B* for possible methods for the evaluation of an individual's competence
  - d. must do a witness assessment of each safety auditor within 12 months of the safety auditor conducting their first audit or after they have completed six audits, whichever comes first. Thereafter, an internal witness assessment will be conducted at least once every three years.

An increased frequency of witness assessments will be undertaken as necessary to validate auditor competency, for example, when the safety auditor has been auditing infrequently.

To the satisfaction of JAS-ANZ, a certification body may comply with this requirement through effective auditor moderation and review processes.

**Note:** Where JAS-ANZ conducts an auditor witness assessment, that report may be used to satisfy any internal witness assessment requirement of that safety auditor and will be used in the annual performance review of that safety auditor.

### Attestation

4. Attestation is the process by which an independent opinion is sought and expressed on the technical competence of a person in a particular adventure activity.
5. In accepting an attestation for a technical expert, the certification body will ensure that:
  - a. the person became technically competent through substantial professional experience in instructing or guiding participants
  - b. the technical expert's knowledge and skills reflect continuing professional experience in the activity or activities
  - c. if there is a high-level, national qualification for the activity or activities (see the technical competency table below), then the person providing the attestation should hold that qualification at the time they provide the attestation.

6. An attestation will:
  - a. be provided by an independent person who is recognised within the sector as a suitable person to provide such an attestation, that is, someone who has met one or more of the following criteria below:
    - i. has technical expertise in the activity
    - ii. is involved at a national level in developing, implementing, and maintaining standards, codes of practice, activity safety guidelines, or qualifications
    - iii. is involved in the governance or management of professional associations
    - iv. is involved in national or international conferences
    - v. has worked or is working as a trainer in that adventure activity
  - b. be completed using the [Appendix D: Attestation of technical competence](#)
7. A certification body will assess the attestation alongside other evidence of a person's competence and affiliations, for example, the risks to impartiality in determining the person's suitability as a technical expert. Records of that decision will be made available to JAS-ANZ on request.
8. Attestations are valid for a three-year period unless revoked by the certification body or the person who provided the attestation.

## Technical competency table

9. The technical competency table below sets out the qualifications or competence we expect of technical experts for comparable groups of activities.
10. The table:
  - a. should be read in conjunction with the list of adventure activities published on the WorkSafe website: [worksafe.govt.nz](http://worksafe.govt.nz)
  - b. is not exhaustive but indicates activities that could be subject to the Regulations, depending on whether they meet all the criteria in regulation 4
  - c. may be updated by us as new qualifications are developed and recognised by the industry.

### Note:

- a. Technical experts can be used for comparable activities because those activities involve broadly similar hazards and risk management.
- b. Either the nationally recognised high-level qualifications listed in the technical competency table or an attestation are the sole means for demonstrating competence.
- c. In general, qualification holders must have been active in the field their qualification covers for at least two years after they gained the qualification. Attestations will recognise similar experience. The measures for diving competency are different (see below).
- d. National qualification bodies may recognise certain international qualifications as high-level qualifications in specific adventure activities. Certification bodies should check international requirements with the qualification bodies.
- e. See *Attestations* for the requirements when there is an existing high-level qualification.

The technical competency table below is applicable from **31 August 2023**.

### Technical competency table

ACTIVITY GROUP	QUALIFICATION OR ATTESTATION OPTIONS
<b>Activities at height</b>	
<ul style="list-style-type: none"> <li>- Abseiling</li> <li>- Bridge swinging</li> <li>- Canyon swinging</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or</li> <li>- NZOIA Alpine 2, or NZOIA Rock 2, or NZOIA Canyon 2, or NZOIA Cave 2, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Bungy jumping</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Canyoning</li> </ul>	<ul style="list-style-type: none"> <li>- NZOIA Canyon 2, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Caving</li> </ul>	<ul style="list-style-type: none"> <li>- NZOIA Cave 2, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Cliff rescue</li> <li>- Tree climbing</li> <li>- Tyrolean traverse</li> <li>- Via ferrata</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or</li> <li>- NZOIA Rock 2, or NZOIA Alpine 2, or NZOIA Cave 2, or NZOIA Canyon 2, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Climbing on artificial structures outside</li> <li>- Crate stacking</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or</li> <li>- NZOIA Alpine 2, or NZOIA Rock 2, or NZOIA Canyon 2, or NZOIA Cave 2, or</li> <li>- Attestation from a person holding one of the qualifications above or from a High ropes technical expert or High wire technical expert</li> </ul>
<ul style="list-style-type: none"> <li>- Coasteering</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- High ropes course</li> <li>- High wire course</li> <li>- Zipline</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Rock climbing (including bouldering)</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or</li> <li>- NZOIA Rock 2, or NZOIA Alpine 2, or</li> <li>- Attestation</li> </ul>
<b>Activities on, or in vicinity of, an active volcano</b>	
<ul style="list-style-type: none"> <li>- Adventure Activities on Whakaari/White Island and Raoul Island</li> </ul> <p><b>Note:</b> Activities taking place in the vicinity of Ruapehu and Tongariro are not subject to the requirement to use a volcanology technical expert. This is due to the Department of Conservation's approach for managing volcanic risk in the Tongariro National Park and its coverage of DoC concessionaires. Further, WorkSafe expects that all operators, when conducting activities in locations of volcanic activity, will have controls in place to manage risks associated with volcanic unrest</p>	<ul style="list-style-type: none"> <li>- A scientist specialising in volcanology, <b>and</b></li> <li>- a technical expert for the type of activity being carried out</li> </ul> <p><b>Note:</b> Contact WorkSafe for potential volcanologist technical experts</p>
<b>Diving</b>	
<ul style="list-style-type: none"> <li>- Free diving</li> </ul>	<ul style="list-style-type: none"> <li>- Freediving Level 3 Instructor (AIDA, SSI, PADI, PFI, Molchanovs), or</li> <li>- Scuba diving technical expert qualifications (as listed below) plus a free diving qualification</li> </ul> <p><b>Note:</b> Must hold 'active status' rating with at least one diver training agency</p>

ACTIVITY GROUP	QUALIFICATION OR ATTESTATION OPTIONS
- Scuba diving - sport diving	<ul style="list-style-type: none"> <li>- BSAC Advanced Instructor/CMAS 3 Star Instructor, or</li> <li>- GUI Instructor Trainer (Recreational Level), or</li> <li>- PADI IDC Staff Instructor, or</li> <li>- SDI Course Director, or</li> <li>- SSI Master Instructor</li> </ul> <p><b>Note:</b> Must hold 'active status' rating plus with at least one diver training agency</p>
- Scuba diving - technical diving	<ul style="list-style-type: none"> <li>- Scuba diving (Sport Diving) qualifications as above plus Technical Diving qualification in the type of diving being evaluated, for example, diving over 40m, decompression diving, diving using mixed gases, diving in an overhead environment with no direct access to the surface, or diving using closed and semi-closed rebreathers.</li> </ul> <p><b>Note:</b> Must hold 'active status' rating with at least one diver training agency</p>
- Snorkelling	<ul style="list-style-type: none"> <li>- Freediving qualifications as above</li> <li>- Scuba diving qualifications as above</li> </ul>
- Spear fishing	<ul style="list-style-type: none"> <li>- Freediving qualifications as above</li> <li>- Scuba diving qualifications as above</li> </ul> <p><b>Note:</b> Plus evidence of spearfishing expertise</p>
<b>Open water</b>	
<ul style="list-style-type: none"> <li>- Canoeing</li> <li>- Kayaking</li> <li>- Stand-up paddle boarding</li> <li>- Waka ama</li> </ul>	<ul style="list-style-type: none"> <li>- NZOIA Sea Kayak 2, or</li> <li>- Attestation</li> </ul>
- Swimming	<ul style="list-style-type: none"> <li>- Bronze medallion, or</li> <li>- Surf lifeguard award</li> </ul>
<b>Riding</b>	
- Mountain biking	<ul style="list-style-type: none"> <li>- NZOIA MTB 2, or</li> <li>- New Zealand Certificate in Outdoor Leadership Mountain Biking Guide or Instructor (Level 5), or</li> <li>- PMBIA level 3, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Off-road vehicle driving</li> <li>- Quad biking</li> <li>- Trail biking</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<b>Rolling</b>	
- Inflatable ball rolling (including zorbing)	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<b>Snow</b>	
- Avalanche education	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or NZMGA Ski Guide, or</li> <li>- NZOIA Alpine 2 and ARM6 Avalanche qualification, or</li> <li>- Attestation</li> </ul>
- Glacier walking	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or NZMGA Ski Guide, or NZMGA Hard Ice Guide, or</li> <li>- NZOIA Alpine 2, or</li> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Heli-skiing</li> <li>- Ski/board touring</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Ski Guide, or</li> <li>- Attestation</li> </ul>

ACTIVITY GROUP	QUALIFICATION OR ATTESTATION OPTIONS
<ul style="list-style-type: none"> <li>- Ice climbing</li> <li>- Mountaineering</li> <li>- Snow-shelter building</li> <li>- Snow shoeing</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or NZMGA Ski Guide, or</li> <li>- NZOIA Alpine 2 and ARM6 Avalanche qualification</li> </ul>
<ul style="list-style-type: none"> <li>- Sled dog touring</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation</li> </ul>
<ul style="list-style-type: none"> <li>- Snow mobiling/snow bike touring</li> </ul>	<ul style="list-style-type: none"> <li>- Attestation and ARM6 Avalanche qualification</li> </ul>
<b>Trekking/hiking</b>	
<ul style="list-style-type: none"> <li>- Trekking (including alpine hiking and heli-hiking)</li> </ul>	<ul style="list-style-type: none"> <li>- NZMGA Climbing Guide, or NZMGA Alpine Trekking Guide, or</li> <li>- NZOIA Alpine 2</li> </ul>
<b>Whitewater</b> (including artificial courses)	
<ul style="list-style-type: none"> <li>- Dory tours</li> <li>- Rafting</li> </ul>	<ul style="list-style-type: none"> <li>- National Rafting Senior Guide Grade 4/5, or</li> <li>- NZOIA Kayak 2, or</li> <li>- Attestation</li> </ul> <p><b>Note:</b> NZRA must verify rafting technical experts</p>
<ul style="list-style-type: none"> <li>- Canoeing (including inflatables and waka)</li> <li>- Cliff/rock jumping</li> <li>- Kayaking (including inflatables &amp; sit-ons)</li> <li>- Pack rafting</li> <li>- River boarding</li> <li>- River bugging</li> <li>- River rescue</li> <li>- River swimming</li> <li>- Stand-up paddle boarding</li> <li>- Tube rafting</li> </ul>	<ul style="list-style-type: none"> <li>- National Rafting Senior Guide Grade 4/5, or</li> <li>- NZOIA Kayak 2, or</li> <li>- River Rescue 2, or</li> <li>- Attestation</li> </ul>
<b>Wind</b>	
<ul style="list-style-type: none"> <li>- Kite sports (including kiteboarding and snow kiting)</li> <li>- Windsurfing</li> </ul>	<ul style="list-style-type: none"> <li>- IKO Instructor Level 2, or</li> <li>- Attestation</li> </ul>

## Appendix D:

# Attestation of technical competence

## 1. Applicant to be a technical expert (TE)

Full name:
Physical address: (include postcode)
Phone:
Email address:
Activities for which attestation/s sought: (see the technical competency table in the <a href="#">New Zealand Adventure Activities Certificate Scheme</a> )
Relevant qualifications: (attach copies or link to a register)
Professional development:
Adventure activity log: (can attach as a separate document)

### Applicant declaration

I confirm that the attestation/s I have provided is accurate.

Signature:
Date: DD / MM / YEAR

## 2. Attestation provider

Full name:
Physical address: (include postcode)
Phone:
Email address:
Relevant qualifications: (attach copies or link to a register)
Current position:
Involvement in developing national guidelines, standards, or qualifications:
Affiliation with professional organisations:
Involvement in conferences:
Experience as a trainer:



Summary of relationship with the applicant:

Relationship to the applicant: (for a potential conflict of interest purpose)

Activities for which attestation/s provided: (see the technical competency table in the [Adventure Activities Certificate Scheme](#))

### Attestation provider declaration

I confirm that the attestation/s I have provided is accurate.

Signature:

Date: DD / MM / YEAR

Any limitations on the scope of the technical expert:

### 3. Certification body

Application assessed by:

Certification body:

Attestation provider's independence review:

Evidence assessed in forming the attestation/s:

Any other evidence assessed for this applicant:

### Supporting statements

I am satisfied that the applicant:

1. Gained technical competence through professional experience in instructing or guiding participants at a high level in the activities stated above.
2. Through their professional experiences, is conversant with the risks presented in the New Zealand environment to the safe management of the adventure activity/s.
3. Has current knowledge and understanding of professional safety practice in the activity/s.

Date when this attestation expires: DD / MM / YEAR

Comments:

Decision and reasons:

## Appendix E: Roles in an audit team

1. Audits are conducted by an audit team, which may comprise:
  - a. one person, where a safety auditor is also a technical expert for the activity or activities being audited, or
  - b. a safety auditor and technical expert(s), or
  - c. more than one auditor may be involved when large operations are audited.
2. The roles of those in the audit team are described below.

### Audit manager

3. The audit manager coordinates audit activities and may be part of the audit team.

### Audit team leader

4. For audit teams with more than one safety auditor, the certification body will appoint an auditor to be the audit team leader. The responsibilities and duties of the audit team leader for an audit will be in accordance with *ISO/IEC 17021-1 Annex A*, A.2.1 to A.2.11.
5. If an audit team consists of a single safety auditor, the safety auditor will perform the duties of an audit team leader.

### Safety auditors

6. Safety auditors audit an operator's adventure activities against the relevant Safety Audit Standards.
7. They need to have:
  - a. Completed a nationally or internationally recognised auditor or audit team leader qualification.
  - b. Generic management system auditing competencies as defined by *ISO/IEC 17021-1 Annex A*.
  - c. Specific adventure activity-related competencies to enable them to audit the operations and safety management systems of adventure activity operators, including:
    - i. the ability to apply relevant legal and other requirements that apply to an adventure activity operator, including HSWA and the Regulations
    - ii. knowledge of the definition and classification of adventure activities, including interpretation and application to the operator's activities that are being audited
    - iii. the ability to apply the Scheme and Safety Audit Standards
    - iv. understanding of the adventure activities sector
    - v. familiarity with hazards and risks applicable to the operations they're auditing
    - vi. knowledge and understanding of staff competence, emergency procedures, incident reporting and analysis, and safety culture
    - vii. the ability to assess staff competencies relevant to the operator's safety management system
    - viii. understanding of the appropriate role of technical experts.
8. Safety auditors must understand the limits of their competency and know when to seek advice from a technical expert. For example, if an operator has made or proposes to make changes to the adventure activities they provided, including the sites used, then this may change the type, likelihood, or severity of hazards and risks to the health and safety of staff or participants. The safety auditor may then need the technical expert to provide them with advice.

9. Where the safety auditor also meets the requirements of a technical expert, they may serve that role at the same time. A safety auditor can also act as a technical expert only, as part of an audit team – see *Technical experts*.

### Technical experts

10. Technical experts have a high level of skill and knowledge relevant to the adventure activities they audit. This includes knowledge of current good practice and how this can be reflected in a safety management system.
11. Technical experts must:
  - a. meet the technical qualification requirements – see technical competency table in [Appendix C: Knowledge and competency requirements](#) or
  - b. hold an attestation that satisfies the requirements for technical knowledge and skills – see Attestation in [Appendix C: Knowledge and competency requirements](#) and [Appendix D: Attestation of technical competence](#) and
  - c. be trained and acknowledged by the certification body as a technical expert, and
  - d. maintain their knowledge and competence through on the job experience and or professional development, and
  - e. maintain their knowledge of good practice in those adventure activities they are a technical expert in.
12. If a technical expert is also a safety auditor, then they must demonstrate they meet these requirements **and** what is required of them as a safety auditor.

### KNOWLEDGE AND SKILLS REQUIRED FOR ROLES IN THE AUDIT TEAM

13. The table below summarises the Scheme-specific technical knowledge and skills required for each role in the audit team. The competencies indicated in the table could all be held by the same person or across the audit team, that is, where the auditor holds all required knowledge and skills, a technical expert will not be required.
14. Other required non-technical competencies are established in *ISO IEC 17021-1 Annex A*.

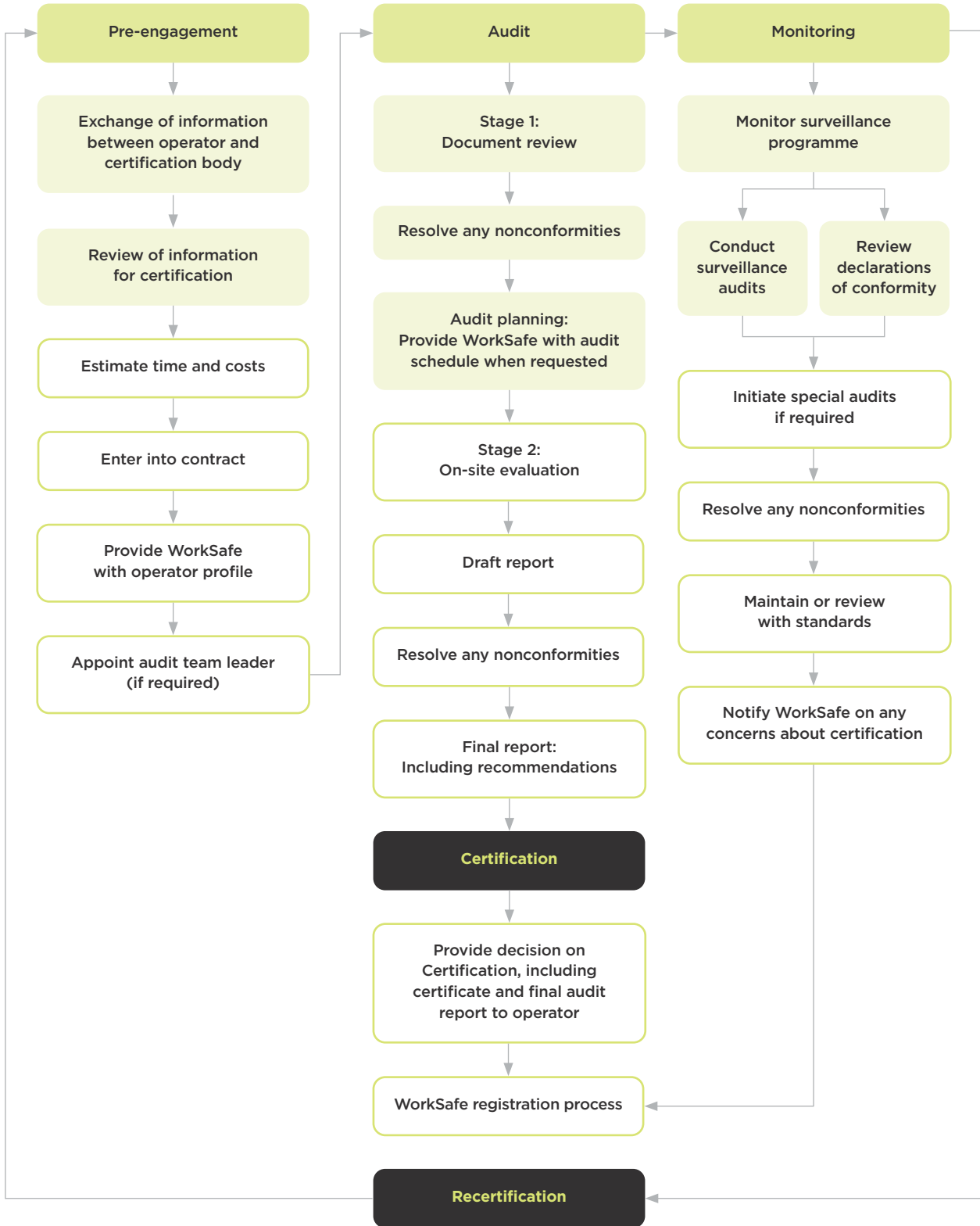
KNOWLEDGE OR SKILLS	AUDIT MANAGER	AUDIT TEAM LEADER	SAFETY AUDITOR	TECHNICAL EXPERT	CERTIFIER
Knowledge of safety management systems	●●	●●	●●	●	●
Knowledge of the Regulations, the Scheme, the Safety Audit Standard and the certification body's procedures	●●	●●		●	●●
Knowledge of the adventure activities provided by the operator, good practice and associated regulatory requirements and safety standards	●	●		●●	

●● Indicates a high level of skills and knowledge is required

## Appendix F: The audit process

1. This appendix sets out the steps involved in an audit. There may be differences in approach between certification bodies.

### Process diagram



## Audit objective

2. The objective of the audit is to determine the extent to which the operator's safety management system conforms to the Safety Audit Standard(s) in intention and practice.

## Pre-engagement

3. Before conducting an audit, a certification body must exchange information with an operator, provide an estimate of time and cost, and, if agreed, enter into a contract.
4. A certification body needs the following operator information to support an application for registration:
  - a. the operator's full legal name
  - b. any other associated legal name or trading name
  - c. the operator's profile – see the form in [Appendix J: Operator's profile](#)
  - d. applications for transfer of safety certificates between certification bodies will be treated in accordance with IAF MD2.
5. The certification body will establish a contract with the operator that:
  - a. requires the certification body to immediately notify WorkSafe of any provision of an activity that poses an immediate risk of a notifiable event
  - b. reiterates to the operator the obligation to keep a record (as required under the HSWA) of each notifiable event, in the workplace, and to notify these events to the relevant regulatory authority, in accordance with section 56 of the HSWA. The operator must be aware that they also need to inform the certification body of any notifiable event
  - c. requires the certification body to provide us with the Operator's profile information (see [Appendix J: Operator's profile](#)) as soon as practicable once the contract for services has been agreed
  - d. requires the certification body to provide us with all audit material we request.
6. The certification body will identify those activities determined as subject to the Regulations and confine audit and certification under the Scheme to those activities only. They should ensure that the operator understands that audits of activities which do not fall within the scope of the Regulations are at the operator's request and are not required or covered by either the Regulations or the Scheme.
7. Once the contract is signed the certification body must provide us with the opportunity to alert them of any specific matters to be considered in its evaluation, certification, or surveillance activities. The certification body will send us the operator profile information – see [Appendix J: Operator's profile](#)
8. At any time, we may advise the certification body of any concerns we have in respect of an applicant or certified operator.

## Stage 1: Document review

9. The safety auditor uses their professional judgement to review an operator's safety management system against the relevant Safety Audit Standard. The document review will also include any:
  - a. previous audit reports
  - b. relevant good practice – see [Appendix L: Good practice sources](#)
10. Some documents that form the safety management system may need to be reviewed on-site, for example, staff qualification, induction and training records.

## Stage 2: On-site evaluation

11. This stage involves a safety auditor using their knowledge and experience to review an operator's practice.
12. A large part of a certification audit will be carried out at the operator's workplaces and will include verification of implementation of the safety management system. This will include inspection (in part or in full) of some or all adventure activities in operation as well as review of documentation not previously seen, including any technical advice, for example, engineer's certificate, and interviews with staff.
13. Any member of an audit team may participate in an adventure activity where such participation is needed to gather objective evidence to inform the audit. Participation will take place only if the audit team member has appropriate technical competency and clothing and equipment, and can participate safely.

## Audit planning

14. Audit planning will be informed by the [Appendix J: Operator's profile](#) and the Audit duration guidelines below.
15. The certification body will develop and document a specific audit plan for each operator.
16. The audit plan will include the:
  - a. audit scope, for example, an operator's safety management system, documents not previously seen, interviews, clothing and equipment storage and maintenance records, activities, and sites
  - b. operator's compliance with those Safety Audit Standard topics that have been weaknesses in the sector, for example, top leadership's commitment to the safety management system, national and international incidents and trends, drugs and alcohol policy and implementation, staff monitoring, overlapping duties, and analysis of the incident register and its follow through into the safety management system
  - c. roles and responsibilities of the audit team members and accompanying persons (when the audit team has more than one person, including any technical experts who will be consulted remotely)
  - d. expected duration and locations of the on-site evaluations, and which audit team members will be involved.
17. The certification body will review the operator's profile at the time of each audit.
18. The certification body will notify WorkSafe before carrying out an audit on Whakaari/White Island or Raoul Island.

## AUDIT SCOPE

19. The overall scope of the audit is confined to those activities that are subject to the Regulations, as defined by regulation 4. What we mean by adventure activity sets out how WorkSafe interprets regulation 4 and the elements of it.
20. Where there is an agreement with the operator to audit other activities, the certification body must clearly differentiate the processes and outcome for an audit of adventure activities covered by the Regulations, and those for activities which are not.
21. Within regulated activities, the scope of an audit refers to the extent and boundaries of the audit, including:
  - a. physical locations
  - b. operating business units
  - c. specific adventure activities
  - d. any ancillary services.

22. In describing the specific adventure activities and ancillary services, the scope should identify:
  - a. any activities, sites, or services that are or might not be operational at the time of the audit
  - b. the specific adventure activities, specific sites, and ancillary services that will be subject to on-site evaluation.
23. For clarity, the audit scope may need to specifically identify any activities or services that are excluded.
24. As appropriate, the audit plan should include contingencies for circumstances that might arise that require varying the planned on-site evaluations, for example, bad weather. Such circumstances will include the nature of the audit evidence being obtained and evaluated. The contingencies may include additional support from technical experts or IAF MD 4.
25. **Note:** Where an operator provides one or more adventure activities at different locations (for example, dive sites) the certification body is required to determine whether:
  - a. each site and associated activities requires evaluation by the certification body as a prerequisite to certification, or
  - b. the operator's safety management system is of sufficient maturity and effectiveness, that the certification body considers that audit effort in respect of each site and activity is not a prerequisite for certification. This may occur, for example, where the operator's policy is to only involve staff with high level qualifications.
26. Where each site or associated activities:
  - a. requires evaluation, the certification scope will be geographically specific
  - b. doesn't need to be evaluated, the certification scope can cover a broader geographic area.

## SAMPLING

27. See 'IAF MD1: Certification of Multiple Sites Based on Sampling' and location guidance for auditors.
28. Regardless of whether an operator is eligible for sampling, activity or site sampling is not suitable where there are variable local factors which adversely impact on an operator's capability to consistently comply with the relevant Safety Audit Standard, or where there is an increased or a different risk to staff and participants' health and safety. Such factors include:
  - a. situations where the use of critical site-specific safety equipment is required
  - b. variability of activity risks, for example, climate, sites, staff experience, and participant experience levels.
29. Where multiple adventure activities are provided, or multiple sites are used, a representative sample of activities and sites may be selected for on-site evaluation as per the requirements of IAF MD1.
30. In determining an operator's eligibility for activity or site sampling, the certification body shall also consider:
  - a. The operator's health and safety history.
  - b. The operator's knowledge of the adventure activities and good practice.
  - c. Findings of previous audits.
  - d. WorkSafe advice.
31. The number and sites of activities required for on-site evaluation will take into account the number and extent of any comparable activities that are part of the same set of operations, for example, management, staff, sites, and safety management system.

32. The certification body will record its reasoning for sampling, and document at least a summary of this reasoning in the audit report.

#### **ACTIVITIES NOT WITNESSED**

33. A certification body may place conditions on a certification when they are not able to do an on-site evaluation. An on-site evaluation may not be possible when:
  - a. the activity is not operating at the time of the audit
  - b. the sampling will be audited at a later stage
  - c. participants are unavailable.
34. The certification body may use their discretion to determine if the conditions require later on-site evaluation of that activity by a specified means and date. Means can include surveillance audits, a full audit, or a review by a technical expert. Allowable timelines can include things like in the season that the activity is provided or during the next surveillance audit.
35. If the certification body is not satisfied with the operator's safety management system in relation to that activity or, if it is unable to establish suitable conditions for such certification, then it must confine the certification scope to those activities for which compliance with the relevant Safety Audit Standards has been established.

#### **Using technical experts during the auditing process**

36. As a member of the audit team, the technical expert should accompany the safety auditor when conducting audit activities, unless the safety auditor determines otherwise. The safety auditor may decide that the nature of the activities requires that the technical expert evaluate that activity alone, including at a different time.
37. The safety auditor must brief the technical expert on the advice that they require, in particular whether the activity plan is consistent with good practice and whether the operator works to that plan.

#### **INITIAL AUDITS**

38. A technical expert is required to evaluate activities onsite unless the activities are unavailable at the time of audit. In this case, advice from a technical expert by a specified date is required as a condition on the operator's activity planning documents.
39. If the technical expert hasn't witnessed activities during the onsite evaluation then this is expected to happen as part of surveillance activities.

#### **SUBSEQUENT AUDITS**

40. For subsequent audits the certification body will decide whether a technical expert could advise remotely or whether another on-site visit is required, including for operators transferring from another certification body. Where subsequent audits are required that are not related to a technical aspect of the activity, the certifying body may decide whether a technical expert is necessary, that is, declaration of conformity.
41. On-site inspection by a technical expert is required if the operator wishes to add an activity that is not comparable to existing activities.
42. When it is allowable to consult technical experts remotely:
  - a. the safety auditor will record appropriate details of the technical expert advice, and the reasons the technical expert advice was sought
  - b. such advice and circumstances will be referenced in the audit report and confirmed by the person who provided the advice, using a documented sign-off process.



## Audit duration guidelines

43. Each audit plan will take into account the specifics of the operator and the requirement to plan the audit to achieve the audit objectives.
44. The following table provides a guide to the number of days certification and recertification audits may take. It reflects auditor time. Technical experts' time may be additional. For other examples of factors that may affect audit duration, see *Varying the audit duration*.

Pre-engagement	Activity groups	STAGE 1		STAGE 2	
		Document review (days)	Planning (days)	On-site evaluation (days)	Reporting (days)
- Information exchange	1	0.5	0.25	1.0	0.25
- Estimate	2-4	0.75	0.5	1.5	0.25
- Contract	5+	0.75	0.75	2.0	0.5

### Notes:

- Activity groups include 'groups' of one activity as well as comparable activities - see Attestation in [Appendix C: Knowledge and competency requirements](#)
- The guideline for on-site evaluation is 50% of the total time. It includes reasonable time spent briefing the operator. It is envisaged there will be variability in audit durations for stage 2.
- A safety auditor's time spent reviewing an operator's work on nonconformities identified during the audit is additional to the guidelines.
- The guidelines may be used to determine audit duration for surveillance and special audits. However, audit duration of those audits should take into account time efficiencies that may exist in the possible limited scope, planning, and reporting requirements.
- Audit time may be reduced if additional audit activity is completed using remote technology.

## INSPECTION OF ACTIVITIES

45. Estimates of audit duration require allowances to be made for inspecting the delivery of specific adventure activities. Inspection may include witnessing or participating in the delivery of adventure activities in part or in full, by someone with technical expertise.
46. When a certification body conducts an audit in 25% or less of the time indicated in the audit duration table, they will record the justification for this and make the record available to JAS-ANZ for review on request.

## VARYING THE AUDIT DURATION

47. The audit duration needs to be sufficient to enable the safety auditor to gather the information they need to consider to deliver against the objectives of the audit.
48. If the operator is certified to a recognised quality management or occupational health and safety standard other than the Safety Audit Standard for adventure activities, for example, *ISO 9001* or *AS/NZ 4801*, then the audit duration may be reduced to recognise the audit time efficiencies that should exist, although the certification body must be assured that the operator complies with the relevant Safety Audit Standard.

49. Where a certification body, and in particular the audit team leader, has an understanding of the operator’s existing delivery of adventure activities and has a high level of confidence in the likelihood of the operator’s state of readiness for audit, the stage 1 and stage 2 audit processes may be scheduled concurrently.
50. The table below shows some factors that could support either increased or decreased audit duration.

<b>FACTOR</b>	<b>INCREASED DURATION MAY BE APPROPRIATE</b>	<b>DECREASED DURATION MAY BE APPROPRIATE</b>
<b>An operator’s profile</b>	High risk	Low risk
<b>The number and nature of sites</b>	Many, dissimilar sites and not eligible for sampling	There are only few sites and they are similar in nature and eligible for sampling
	Sample locations are not easily accessed	There is easy access, for example, base site only
<b>Audit timing</b>	All-year-around operation	A seasonal operation
<b>Maturity of the operation and systems</b>	New operations may require longer audits	Previous audits and technical expert reviews may build safety assurance
	Operator is not well prepared for audit	Operator is well prepared for audit
<b>Results of the document review</b>	Safety auditor concerns or unknowns	A sound safety management system
	The audit team needs to assign one or more technical experts	The operator’s technical advisor advice is acceptable for a recertification audit
<b>Environmental conditions</b>	Weather, water, or terrain conditions make inspection laborious	Inspection is simple
<b>Staff</b>	There is high churn	There is low churn
	Staff don’t hold nationally recognised qualifications	Staff hold nationally recognised qualifications, and work within the scope of those qualifications
<b>There are concerns regarding ongoing compliance</b>	Concerns have arisen from surveillance activities, for example, incidents or complaints	No concerns have arisen from surveillance activities
<b>Language used by the operator and participants</b>	The audit could require translation services	The operation uses English only

## Reporting

51. Certification bodies must prepare audit reports that set out their audit team’s observations. Audit reports must be in line with the requirements of *ISO/IEC 17021*.
52. An audit report may include opportunities for improvement as identified by the safety auditor. There is no requirement for an operator to implement an opportunity for improvement.
53. An audit report must cover those adventure activities as defined in [regulation 4](#) of the Regulations but may include ancillary services.
54. The certification body will report all nonconformities (closed and outstanding) in its audit report. Where a major or minor nonconformity has not been resolved within six months of completing the initial audit, the certification body will conduct a new audit in full.

**SAFETY AUDITORS MUST NOTIFY US IF THEY CONSIDER THERE IS IMMEDIATE RISKS OF NOTIFIABLE EVENTS**

- 55. Safety auditors are required to immediately notify us if they identify during the audit an immediate risk of a notifiable event occurring. Safety auditors must halt the audit immediately if they observe a major nonconformity during activity delivery.
- 56. Notification could be done while the safety auditor is still on site, if it is safe for the safety auditor to do so. The notification can be made by following WorkSafe’s [Raise a health and safety concern process](#)
- 57. This initial notification needs to be followed up by the safety auditor providing us with written information about the matter within five working days. The written information can be provided via email: [aao@worksafe.govt.nz](mailto:aao@worksafe.govt.nz)

**CERTIFICATION BODIES MUST NOTIFY US IF AN OPERATOR DOESN'T MEET REQUIREMENTS OF AN SAFETY AUDIT DUE TO NONCONFORMITIES**

- 58. Certification bodies are required to immediately notify us if an operator has not met the requirements of the safety audit due to nonconformities. This notification could be done while the safety auditor is still on site, if it is safe for the safety auditor to do so. The notification can be made via email: [aao@worksafe.govt.nz](mailto:aao@worksafe.govt.nz)  
The certification body then needs to submit their audit report to us within five working days.

**REPORTING TIMELINES**

- 59. Certification bodies will work to the following timelines for their reporting.

DOCUMENT	WHEN
Draft report and any schedule of nonconformities sent to the operator	Within 10 working days of the audit
Final report where the operator has not met the audit requirements based on major nonconformity(s) sent to the operator and the registrar	Within five working days of the decision that the operator has the audit
Final report where the operator has not met the audit requirements based on minor nonconformity(s) sent to the operator and the registrar	Within five working days of the decision that the operator has not met the requirements of the audit
Final report sent to the operator	Within five working days of receiving resolved response from the operator regarding the draft report and any nonconformities
Certification decision and issue any safety audit certificate	Within five working days of completing the final report

## NONCONFORMITIES

60. Nonconformities will be classified as major and minor nonconformities (see *ISO/IEC 17021-1* clauses 3.11 to 3.13).

MAJOR NONCONFORMITY EXAMPLES	CONSEQUENCE
<ol style="list-style-type: none"> <li>1. A nonconforming matter directly affecting the:                             <ol style="list-style-type: none"> <li>a. standard operating procedures for managing the serious risks, hazards and operating conditions, including the selection and briefing of participants, or</li> <li>b. competence, resourcing, and practices of the staff undertaking an adventure activity.</li> </ol> </li> <li>2. A nonconforming matter involving significant deficiencies in the:                             <ol style="list-style-type: none"> <li>a. policy and methods for monitoring and responding to drug and alcohol hazards, or</li> <li>b. emergency response plans.</li> </ol> </li> <li>3. A series of minor nonconformities.</li> <li>4. Any other nonconformity that, in the view of the audit team, creates an unacceptable level of risk in the operator's delivery of adventure activities.</li> </ol>	<p>All major nonconformities must be resolved or actions taken so they can be downgraded to a minor nonconformity before a safety audit certificate can be issued.</p>
MINOR NONCONFORMITY	CONSEQUENCE
<p>A matter that doesn't conform and which isn't serious enough to be a major nonconformity.</p> <p>This can include leadership, policy, and process matters.</p> <p>The matters must not immediately affect the management of the serious risks, hazards and operating conditions involved in an adventure activity.</p>	<p>The certification body will provide the operator with an opportunity to resolve minor nonconformities, except where a decision has been made to not certify the operator.</p> <p>The time allowed for resolution will be proportionate to the degree of risk arising from the nonconformity and the extent of corrective actions required. This will normally be within 30 days, and in the case of seasonal complexities it must be no longer than six months.</p> <p><b>Note:</b> A certification body may issue a certificate despite the existence of minor nonconformities provided the certification body has:</p> <ul style="list-style-type: none"> <li>- accepted the operator's proposed corrective action plan and timetable</li> <li>- agreed how completion of the actions will be verified.</li> </ul>

## Appendix G: Procedure for the certification of operators

The certification body will decide whether to certify the adventure activity operator

1. Under regulation 6 of the Regulations, if an adventure activity operator:
  - a. fails their safety audit then the certification body must give the operator written notice of this decision and the reasons for the failure
  - b. passes their safety audit then the certification body must:
    - i. give the operator written notice of this decision
    - ii. issue a safety audit certificate to the operator that specifies the adventure activities that were audited, the period the audit is valid for, and any conditions the certificate is subject to
    - iii. provide the operator with a copy of the audit report and any other information needed for the operator to apply to the Registrar for registration.
2. The certification body will not make a certification decision unless it is satisfied that:
  - a. the operator is providing an adventure activity as defined in regulation 4
  - b. the operator's safety management system is capable (in design and implementation) of delivering adventure activities to participants in conformance with good practice
  - c. a technical expert has been consulted for advice regarding the documented operating procedures.

### Certification period

3. The certificate is valid for no longer than three years as per [regulation 6\(3\)\(a\)\(ii\)](#)
4. The certification body will determine how long the certificate is valid for, taking into account what is sufficient to manage the integrity of the certificate and to promote safety in accordance with the Safety Audit Standards.
5. A certificate may be issued for three years provided that the certification body is satisfied that any surveillance audits and other conditions the certificate is subject to, as detailed in Conditions, are sufficient.

### Conditions

6. Under regulation 6(4) the certification body can issue a safety audit certificate subject to any conditions it considers are required to maintain the safety of the adventure activities, and that are consistent with the relevant Safety Audit Standards.
7. We expect certification bodies to use their judgement and impose conditions where they are needed. The conditions need to:
  - a. take account of and be proportionate to the operator's circumstances, certification scope, and audit findings
  - b. be time-bound. The certification body will determine the timeframes in which the operator must meet the conditions on the safety audit certificate
  - c. be for the purposes set out in regulation 6(4)
  - d. be presented in writing on the safety audit certificate. This can take the form of a succinct list on the safety audit certificate which includes a reference to a more detailed document.

8. Conditions could include:
  - a. surveillance activities
  - b. specified actions required of the operator that must be completed to the certification body's satisfaction by a specified date, for example, requiring the operator to have a technical advisor review and report on an adventure activity
  - c. having a technical expert review locations the operators are less familiar with.
9. Certifying bodies must have a system in place to ensure conditions are met during the certification period.

## Issuing certificates

10. Where the certification body decides to grant certification, they will:
  - a. issue a certificate to the operator that specifies the scope of the certificate in terms of:
    - i. the adventure activity/ies to which the certificate applies. The certification body should refer to the list of adventure activities on the WorkSafe website or ask WorkSafe for information on how to describe the adventure activity. This helps ensure consistency in language across all certificates and on the adventure activity register
    - ii. the location or locations of the sites where the activities are provided and to which the safety audit certificate applies. Location descriptions should be as specific as possible
    - iii. the period the safety audit certificate is valid for, including the expiry date
    - iv. any conditions – see Conditions above
  - b. have a policy governing any mark it authorises its certified operators to use that will ensure traceability back to the certification body. There will be no ambiguity in the mark or the accompanying text as to what was certified and which certification body issued the safety audit certificate
  - c. make available to us on request any other information which, in accordance with the certification body's function under regulation 12(f) and (g) of the Regulations, may constitute grounds for the Registrar to make a decision on the matter.

## Changes affecting certification

11. A certification body may need to respond to changes after certification is issued, including where the operator:
  - a. intends to provide a new activity that is not in the scope of its safety audit certificate
  - b. intends to provide activities at a new location for an activity that is in the scope of its safety audit certificate
  - c. changes identity (for example, sale or merger of businesses, change of registered business name)
  - d. more information on this is set out in the Special Audits in [Appendix H: Procedure for monitoring operators](#)

## Withdrawing or suspending certification

12. We acknowledge that certification bodies are required to meet accreditation requirements as part of their accreditation with JAS-ANZ so may need to apply clause 9.6.5 of *ISO/IEC 17021-1:2015*, which requires certification bodies to have policies and procedures in place for the suspension or withdrawal of certification, and to suspend certification in certain circumstances.
13. However, the suspension or withdrawal of a safety audit certificate has no legal effect under the Health and Safety at Work Act 2015, the Regulations or this Scheme, and therefore any such action would not mean registration of the activity is automatically suspended or cancelled. Accordingly, if a certification body proposes to take action in reliance on clause 9.6.5 of *ISO/IEC 17021-1:2015*, it should ensure it does not misrepresent the legal effect of doing so to the operator.
14. In addition, the certification body should comply with natural justice and inform us of its concerns. In particular, the certification body should:
  - a. before suspending or withdrawing certification under clause 9.6.5:
    - i. notify the operator in writing of its concerns and the basis for them, and
    - ii. explain in the notification that, if the concerns are not addressed, suspension or withdrawal may result and what the potential consequences of that would be, and
    - iii. give the operator a reasonable opportunity to respond, and
    - iv. properly consider any response provided by the operator, and
    - v. notify us via email [aao@worksafe.govt.nz](mailto:aao@worksafe.govt.nz) of the certification body's concerns and the basis for them
  - b. as soon as practicable after any decision to suspend or withdraw certification under clause 9.6.5 is made, give the operator written notice of:
    - i. the decision and the reasons for it, and
    - ii. if applicable, the period of suspension and the process for restoring the suspended certification, and
    - iii. the potential consequences of the suspension or withdrawal of the certification
  - c. if the certification is suspended under clause 9.6.5, ensure that the process for restoring the certification, including any additional audit requirements to be met, has been determined and is documented
  - d. give the Registrar written notice of:
    - i. any decision to suspend, withdraw, or restore the certification within five working days of the decision being made; and
    - ii. the reasons for the decision.
15. If we've been informed by the certification body of a decision or proposal under clause 9.6.5 to suspend or withdraw certification, we'll decide in accordance with our *How we administer the adventure activities regime policy* whether any action should be taken by the Registrar and/or the regulator, including whether:
  - a. the regulator should inspect the adventure activity operation and consider enforcement action
  - b. the Registrar should consider suspending or cancelling the operator's registration.
16. We will apply *How we administer the adventure activities regime* and regulations 7Q to 7T of the Regulations in situations where we are considering suspending or cancelling an operator's registration.

## Recertification

17. A recertification application will be evaluated as if it were an application for a new safety audit certificate, as required under regulation 7L.
18. The certification body will:
  - a. plan and conduct recertification audits
  - b. review all conditions of the expiring safety audit certificate and the surveillance activities conducted during the certification period and decide whether technical experts are needed to evaluate every activity.
19. The certification body's knowledge of the applicant's operation may increase or reduce the audit duration and help the certification body decide whether technical experts are needed to evaluate every activity.
20. The recertification audit duration will be calculated using the audit duration table and an up-to-date operator's profile – see [Appendix J: Operator's profile](#)
21. For the recertification audit, the offsite and activity sampling plans and audit team competencies will need to consider:
  - a. how to ensure audit coverage of sites and activities during the certification cycle with cognisance to risk and priority
  - b. the involvement of technical expert(s) in previous audits and the currency and relevance of findings to the recertification audit
  - c. any acceptable technical advisor reports
  - d. whether a technical expert is required on the recertification audit team, and if so, whether that they participate on-site or remotely.
22. A certification body would normally require a technical expert on the recertification audit team where the operator has fulfilled surveillance activity obligations solely via the Declaration of Conformity mechanism.
23. A document review is required for recertification audits. The certification body may elect to perform this wholly or in part, onsite or offsite.



## Appendix H: Procedure for monitoring operators

1. ISO/IEC 17021 uses the term surveillance for all monitoring activities between certification audits.
2. The certification body will document its surveillance programme for each operator.
3. The approach to surveillance under the Scheme is based on a requirement to:
  - a. monitor, review, and appropriately respond to any conditions on safety audit certificates and ensure ongoing compliance with the Safety Audit Standard
  - b. inform the Registrar of compliance with conditions on safety audit certificates and/or any new conditions added
  - c. respond to reasonable concerns about the safety performance of an operator raised by WorkSafe or any other person.
4. A surveillance audit is required in the year following initial certification and a new assessment must be undertaken during this surveillance audit. This subsequent assessment may result in a decision that a further surveillance audit is required the following year or that the operator's safety performance can be monitored through a declaration of conformity and (if required) other surveillance activities.
5. It is the certification body's decision what surveillance activities are appropriate in context of the validity period for certification and the operator's safety performance in compliance with the Safety Audit Standard. The certification body's procedures will define the types of surveillance activities and special audits that may be undertaken and the criteria for selecting and applying them, including their frequency. The certification body will document its surveillance programme for each operator.
6. The maximum period between surveillance activities is within 12 months of the initial certification and thereafter at least every 12 months. To afford flexibility in audit scheduling, the certification body may conduct the on-site surveillance audits within 60 days either side of the due date. The certification body will assign personnel to conduct surveillance audits and monitor an operator's surveillance programme, including the declarations of conformity, reporting by safety auditors, and advice from us, to confirm that the operator's delivery of adventure activities continues to comply with the Safety Audit Standard.
7. At the time of certification, the certification body will plan surveillance activities.
8. Recertification audits can occur up to three months before the operator's certification is due to expire.

### Surveillance audit

9. The duration of a surveillance audit will be based on:
  - a. the objectives of the audit
  - b. any updated information received
  - c. the time that's expected to be needed to gather objective evidence, and complete pre-audit planning and post-audit reporting.
10. When planning surveillance audits (and special audits), the certification body will consider the need and opportunity to verify Safety Audit Standard topics that have been weaknesses in the sector – see Audit scope in [Appendix F: Audit process](#)

## POTENTIAL TRIGGERS

11. In scheduling a surveillance audit, the certification body will be guided by factors such as:
  - a. Whether it's necessary to review an operator's resolution of any nonconformities.
  - b. An assessment of the operator's safety performance and compliance with the Safety Audit Standard.
  - c. Where an on-site evaluation of an adventure activity could not be evaluated at the time of audit due to its unavailability.
  - d. Where there are multiple adventure activities and/or sites for which the certification body needs to ascertain on-going compliance with the Safety Audit Standard.

**Note:** The certification body may increase or decrease the frequency and nature of surveillance audits during the period of certification in consultation with the operator.

## Declaration of conformity

12. Where a certification body decides that a further surveillance audit is not required, following the surveillance audit carried out in the year following initial certification, then the certification body must make it a condition on the safety audit certificate that the operator submit a declaration of conformity within 30 working days of its safety audit certificate anniversary, except for the month when the safety audit certificate expires – see [Appendix K: Declaration of conformity](#)

By completing this form the operator is declaring that they continue to conform to the Safety Audit Standard and any other conditions on certification.
13. If an operator fails to suitably complete and submit the declaration of conformity, then the certification body should inform WorkSafe so it can consider taking action as Registrar and/or regulator regardless of any action the certification body may take in reliance on *ISO/IEC 17021-1:2015*.

## Special audit

14. A special audit is an audit organised during the certification cycle due to a change of circumstance during the period of certification. It could be in response to:
  - a. the operator providing a new adventure activity
  - b. significant changes to the operator's ownership, top leadership, key staff, operations, sites, or safety management system, or the knowledge that significant change is pending. Note that this may be conducted in conjunction with a surveillance audit if the certification body considers it appropriate to do so
  - c. actual or potential major nonconformities indicated through a declaration of conformity
  - d. notifiable events
  - e. a request from an operator following an incident or safety concern
  - f. concerns raised about the safety performance of an operator raised by WorkSafe or any other person
  - g. advice that there are safety issues associated with the operator, or with a type of or specific adventure activity across all operators providing that activity
  - h. other concerns about an operator's safety performance, for example, complaints.
15. Before responding to an incident or concern, the certification body will consult with us to ensure coordination with any investigation or other regulatory activity.

**Appendix I:**

# Audit personnel register

Example

Staff member's name:
Role: <input type="radio"/> Trainee <input type="radio"/> Auditor <input type="radio"/> Technical expert
Calendar year:
Activity qualifications:
Activity attestation:
Auditing or technical expert scope:

List of audits or technical expert evaluations conducted this calendar year:

**Witnessed audit**

Reviewer:
Audit:
Date: DD / MM / YEAR

**Performance review**

Reviewer:
Date: DD / MM / YEAR

**Appendix J:**

# Operator's profile

The operator is to complete this form for each audit in order to help the certification body estimate the audit cost and to plan the audit.

**Note:** WorkSafe requires up to three months to consider whether activities not listed on the website are subject to the Health and Safety at Work (Adventure Activities) Regulations 2016 and, if so, what expertise is required to audit those activities. This timeframe includes consultation and processing before an audit can begin.

## 1. Administration

Certification body (audit provider):

Trading name/s:

New Zealand Business Number (NZBN):

Legal name:

Past trading and legal names:

Directors' names:

AAO number: (if known)

Safety audit certificate expiry date: DD / MM / YEAR

Have you allowed enough time for the audit and subsequent operation while preparing to be registered?  Yes  No

If a new operation or activity, planned start date: DD / MM / YEAR

Website address:

Physical address:

Postal address: (where your safety audit certificate will be sent)

Contact person: (for the audit)

Phone:

Email address:

Contact person for billing: (if different)

Email address:

## 2. Audit duration factors

### General information

Technical advisors and their qualifications:

What is the type of operation, for example, camp:

What is the size of the operation, for example, sole operator, small business, large business:

What adventure activities do you provide all year round:

What adventure activities do you provide seasonally:

What ancillary services do you provide, for example, driving:

What critical risks have you identified in your operation:

What critical risks have you identified from your location independent of the activity:

What languages are used by the operator and the participants:

Do you have a conflict of interest with any auditors: (provide details)

What else should the certification body know to plan for the audit, for example, safety history:

What good practice guidance do you use:

**If applying to register a new activity**

Using page four of [What we mean by 'adventure activity'](#) what activity name best describes your activity?





**Appendix K:**

# Declaration of conformity

1. An operator will submit the declaration of conformity to its certification body within 30 days of the safety audit certificate anniversary, except when a surveillance audit is conducted or when the safety audit certificate expires.
2. The operator will conduct regular reviews with sufficient scope and depth to verify that it's conforming to certification requirements before submitting the declaration. The requirements are outlined below, although a certification body may use its own form.
3. The certification body will assess the declaration to determine the likelihood of ongoing compliance with the certification. Further discussions may be needed before the certification body can verify the likelihood of compliance.
4. Where an operator doesn't submit the declaration, or significant concerns are identified, the certification body will, following discussion with the operator:
  - a. implement a special audit or inform WorkSafe of its concerns so WorkSafe can consider taking action as Registrar and/or regulator
  - b. provide reasons for their decision.
5. The certification body will retain the declarations as part of the surveillance activities.

## 1. Declaration

### Internal review checklist

This checklist is based on an AdventureMark form. Certification bodies can use it or develop their own.

Full name:	
Operator:	
Operator's reviewer:	
Review date:	DD / MM / YEAR
Position:	
Email address:	
Phone:	
Have there been any changes to ownership or senior staff?	<input type="radio"/> Yes <input type="radio"/> No
Have there been any significant changes to the adventure activities, for example, locations, fixtures, equipment?	<input type="radio"/> Yes <input type="radio"/> No

I have the authority to sign this legal document and I declare that the information provided, including the attachments, is accurate

Signature:	
Auditor:	
Date:	DD / MM / YEAR

## 2. Checklist

1. This checklist aims to assist operators to comply with the Safety Audit Standard (the SAS) and to meet the formal requirements of a Declaration of Conformity.
2. Please attach documents as evidence, for example:
  - a. revised SMS with a table of changes and a SMS review meeting record
  - b. incident register and Incident trend analysis record
  - c. an example of a staff monitoring record and notes from a staff meeting
  - d. equipment/fixture inspection logs.
3. The safety auditor will complete the Auditor Findings column. They will also consider whether there's sufficient evidence for the auditor to assess ongoing compliance.
4. Abbreviations:
  - C: Complies
  - O: Observation
  - NC: Nonconformity
  - NA: Not applicable
  - F: More information is required



Topic	SAS section	Operator's evidence (‘yes’ isn’t sufficient evidence)	Auditor finding	Auditor comments
<b>Top leadership</b> - Top leadership understand our activities - Top leadership review safety reports - Our current SMS is signed off	3.1 9.2			
<b>Legislation and guidelines</b> - Our SMS complies with relevant legislation and guidelines: <a href="http://www.supportadventure.co.nz/legal">www.supportadventure.co.nz/legal</a>	3.2			
<b>Goals and objectives</b> - We have clear goals and objectives set - Staff were involved in setting our safety objectives and the plans to meet them - We monitor and record the results of implementing our safety goals and objectives	3.3			
<b>Staff</b> - Our staff are signed off as competent - Staff qualifications are current - Our training system is working - Our staff have been monitored	3.6 5.2 5.4 9			
<b>Clients</b> - Our screening process is working - Our safety briefings are working - Our supervision system is working - Our feedback process is working	3.5 5.4			
<b>Other parties</b> - We’ve consulted with parties we have overlapping duties with	3.5			
<b>Hazards and risks</b> - Our register has been reviewed with staff - We have technical advisors - We communicate new hazards to staff	4.1 4.2 4.4			
<b>Drugs and alcohol hazard</b> - Our risk assessment is still accurate - We’ve discussed it with staff	4.3			
<b>Good practice</b> - Our activity plans are aligned with good practice: <a href="http://www.supportadventure.co.nz/good-practice">www.supportadventure.co.nz/good-practice</a>	5.1			
<b>Clothing and equipment</b> - It’s suitable and sufficient for what we do - We’ve checked employees’ and contractors’ PPE - Our inspection and retirement systems are working	5.5			
<b>Emergency plan</b> - Our procedures cover all emergencies - We’ve reviewed the procedures with staff - We’ve practised our procedures	5.6 6.1			

Topic	SAS section	Operator's evidence (‘yes’ isn’t sufficient evidence)	Auditor finding	Auditor comments
<b>Incidents</b> <ul style="list-style-type: none"> <li>- We’ve encouraged incident reporting</li> <li>- We’ve reviewed our ratio of near misses to accidents</li> <li>- We’ve reviewed any serious incidents</li> <li>- We’ve implemented any recommended changes from reviews</li> <li>- We’ve reviewed our incident trend</li> <li>- We’ve considered other incidents in the sector</li> </ul>	<p style="text-align: center;">7.1 7.2</p>			
<b>External audits and reviews</b> <ul style="list-style-type: none"> <li>- We’ve implemented any conditions</li> <li>- We’ve involved technical advisors</li> <li>- We’ve considered all recommendations</li> </ul>	<p style="text-align: center;">9.2 9.3</p>			
<b>General comments</b>				

## Appendix L: Good practice sources

1. This appendix provides a guide to written sources of good practice for adventure activities. They should be supported by technical expert interpretation in the context of each operation.
2. Legislation requires a specific good practice document to be followed, it is a legal requirement to do so.
3. Good practice guidelines are developed by a regulator, these are expected to be followed or an alternative practice must be justified as being at least as good.
4. All other written sources of information require careful consideration before deciding how much they can be relied on to inform good practice. Activities without reliable sources of written good practice information rely heavily on technical experts to understand good practice.
5. Factors to consider include:
  - a. Is it informed by suitable experts and broadly consulted?
  - b. Is it current?
  - c. Do New Zealand operators support the document as representing good practice?
  - d. Does it cover all relevant topics?
6. The information in this appendix is split into two tables:
  - a. for activities with Activity Safety Guidelines (ASGs)
  - b. for those activities without ASGs.
7. ASGs have been developed by the sector and are considered to be reliable sources of good practice information.
8. The information is not exhaustive or prescriptive, either in terms of the adventure activities or good practice documents.
9. Some adventure activities need facilities, equipment, or other services. The table does not include references, such as engineering standards, building codes, or manufacturers' recommendations that could be used to assess these services.
10. For information on what constitutes good practice, and on how to use written and verbal sources of good practice information, see [Good Practice for Adventure Activities – a guide for auditors](#)

## Activities with ASGs

Where there are other relevant sources of good practice written information, they're referred to in each ASG.

ADVENTURE ACTIVITY	ACTIVITY SAFETY GUIDELINE	INFORMATION FROM REGULATORS
- Abseiling	<a href="#">Abseiling</a>	<a href="#">Best practice guidelines for working at height in New Zealand 2019</a>
- Bridge swinging - Canyon swinging - Via ferrata	<a href="#">High Wire and Swing</a>	
- Canyoning	<a href="#">Canyoning</a>	<a href="#">Best practice guidelines for working at height in New Zealand 2019</a>
- Caving	<a href="#">Caving</a>	<a href="#">Best practice guidelines for working at height in New Zealand 2019</a>
- Coasteering	<a href="#">Coasteering</a>	<a href="#">Best practice guidelines for working at height in New Zealand 2019</a>
- Heli-skiing	<a href="#">Heli-Skiing</a>	
- High ropes course - High wire course - Zipline (flying fox)	<a href="#">High Wire and Swing</a>	
- Mountain biking	<a href="#">Mountain Biking</a>	
- Off-road vehicle driving - Quad biking - Trail biking	<a href="#">All Terrain Vehicles</a>	
- Scuba diving	<a href="#">Dive</a>	<a href="#">Diving - Working safely in the occupational diving, snorkelling, and free-diving industries - a guide for PCBU's</a>
- Trekking (including alpine hiking and heli-hiking)	<a href="#">Alpine Hiking</a>	
- White water rafting	<a href="#">White water rafting</a>	<a href="#">White water rafting - guidance for commercial rafting operators</a>

Please ensure you refer to the most recent versions of these documents, also note that ASGs beyond those listed will continue to be developed.

## Activities without ASGs

The titles of guidance documents (guidelines, codes of practice, rules, or standards) do not indicate how reliable the information is. Consider the factors listed at the beginning of this document when deciding how much to rely on them.

Although they don't describe good practice, the scope and syllabus of [New Zealand Outdoor Instructor Association](#) (NZOIA) disciplines indicate content areas to consider.

This isn't a definitive list of guidance documents or adventure activities that are subject to the Adventure Activities Regulations.

ADVENTURE ACTIVITY	INFORMATION FROM REGULATORS	INFORMATION THAT COULD INFORM GOOD PRACTICE
<b>Activities at height</b>		
<ul style="list-style-type: none"> <li>- Cliff rescue</li> <li>- Crate stacking</li> <li>- Rock climbing (including bouldering and artificial structures outside)</li> <li>- Tree climbing</li> <li>- Tyrolean traverse</li> </ul>	<a href="#">Best practice guidelines for working at height in New Zealand 2019</a>	NZMGA Professional, Terrain, and Supervision Guidelines 2021  <a href="#">NZOIA Rock Scope and Syllabus</a> <a href="#">ASG High Wire and Swing</a> <a href="#">ASG Indoor Climbing</a> <a href="#">ASG Abseiling</a>
<ul style="list-style-type: none"> <li>- Bungy jumping</li> </ul>		<a href="#">AS/NZS 5848:2000 – Code of practice for bungy jumping</a> <a href="#">ASG High Wire and Swing</a>
<b>Ancillary services</b>		
<ul style="list-style-type: none"> <li>- Driving</li> </ul>	<a href="#">Waka Kotahi Resources</a>	<a href="#">Driving Good Practice Guideline</a>
<b>Diving activities</b>		
<ul style="list-style-type: none"> <li>- Free diving</li> </ul>	<a href="#">Maritime New Zealand Safety Guidelines for commercial swimming operations 2021</a>	<a href="#">ISO13289: 2011 Recreational diving services – Requirements for the conduct of snorkelling excursions</a> <a href="#">ASG Dive</a>
<ul style="list-style-type: none"> <li>- Snorkelling</li> </ul>	<a href="#">Maritime New Zealand Safety Guidelines for commercial swimming operations 2021</a>	<a href="#">ISO13289: 2011 Recreational diving services – Requirements for the conduct of snorkelling excursions</a> <a href="#">ASG Dive</a>
<b>Mountain activities</b>		
<ul style="list-style-type: none"> <li>- Glacier hiking</li> <li>- Ice climbing</li> <li>- Mountaineering</li> <li>- Snow-shelter building</li> <li>- Snow shoeing</li> </ul>		NZMGA Professional, Terrain, and Supervision Guidelines 2021  <a href="#">NZOIA Alpine Scope and Syllabus</a> <a href="#">MSC NZ Guidelines and Recording Standards for Weather, Snow-pack and Avalanche Observations</a> <a href="#">ASG Heli-Skiing</a> <a href="#">ASG Alpine Hiking</a>

ADVENTURE ACTIVITY	INFORMATION FROM REGULATORS	INFORMATION THAT COULD INFORM GOOD PRACTICE
<b>Open-water activities</b>		
<ul style="list-style-type: none"> <li>- Canoeing</li> <li>- Kayaking</li> <li>- Stand-up paddle boarding</li> <li>- Swimming</li> <li>- Waka ama</li> </ul>	<p><a href="#">Maritime New Zealand: Paddle Craft Guide</a></p> <p><a href="#">Maritime Rules Part 91 – navigation safety rules</a></p> <p><a href="#">Maritime Rule Part 22 – Collision Prevention</a></p> <p><a href="#">Maritime New Zealand: Safety Guidelines for commercial swimming operations 2021</a></p> <p><a href="#">Regional Council Navigation Safety Bylaws</a></p>	<p><a href="#">Commercial Kayaking Operators’ Code of Conduct 2011</a></p> <p><a href="#">NZOIA Sea Kayaking Scope and Syllabus</a></p> <p><a href="#">Surf Lifeguard Training Manual 2019</a></p> <p><a href="#">Beach and Surf Activities Good Practice Guide 2021</a></p>
<b>Whitewater activities</b>		
<ul style="list-style-type: none"> <li>- Canoeing (including inflatables and waka)</li> <li>- Cliff/rock jumping</li> <li>- Kayaking (including inflatables and sit-ons)</li> <li>- Pack rafting</li> <li>- River boarding</li> <li>- River bugging</li> <li>- River rescue</li> <li>- River swimming</li> <li>- Stand-up paddle boarding</li> <li>- Tube rafting</li> </ul>		<p><a href="#">NZOIA Kayaking Scope and Syllabus</a></p> <p><a href="#">NZOIA Canoe Scope and Syllabus</a></p>
<b>Wind activities</b>		
<ul style="list-style-type: none"> <li>- Kite sports (including kiteboarding and snow kiting)</li> <li>- Windsurfing</li> </ul>	<p><a href="#">Maritime Rule Part 91</a></p> <p><a href="#">Maritime Rule Part 22 – Collision Prevention</a></p>	<p><a href="#">Commercial Kayaking Operators’ Code of Conduct 2011</a></p>

## Disclaimer

WorkSafe New Zealand has made every effort to ensure the information contained in this publication is reliable, but makes no guarantee of its completeness.

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