H&S1

GOOD PRACTICE GUIDE FOR WILDING CONIFER CONTROL V1 OCTOBER 2026



HEALTH & SAFETY AUDITING

This guidance document is intended for work within the National Wilding Conifer Control Programme. It provides definitions used in the audit programme, outlines the auditing requirements and provides guidance on the minimum H&S auditing standards required in the Programme.

NATIONAL WILDING CONIFER CONTROL PROGRAMME

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About this document

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VERSION CONTROL

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Background

A health and safety (H&S) auditing requirement has been part of the Programme, with a requirement for Councils to complete auditing of contractors they engage. To support a consistent approach to H&S auditing across the Programme, the Programme team reviewed existing auditing requirements and developed this guidance for Councils and other Programme partners.

Why do we audit?

H&S audits provide an opportunity for Councils (and other parties) to gauge contractors current H&S practices, assess their effectiveness and identify any other risks that they could address. One of the biggest benefits of conducting a H&S audit is to improve the workplace culture and establish good habits in workers. Other reasons can include finding risks and hazards early and addressing them right away, showing the workers that the company is dedicated to their H&S, ensuring that the contractor is complying with relevant H&S standards, identifying areas where the contractor can improve their H&S habits and implementing improvements.

Definitions

The definitions used for the purposes of this guidance document are as follows:

1. External H&S audit

An independent review (i.e. a third party independent of the PCBU chain) of an organisation's H&S systems, processes, and practices undertaken by a third party to provide objective assurance that H&S requirements are being met.

2. Internal H&S audit

A structured evaluation carried out by the organisations within the PCBU chain to determine whether its H&S systems are working as intended, meeting requirements, and supporting continual improvement.

3. H&S systems audit

A structured review of an organisation's policies, procedures, practices, and controls to assess how well its H&S management system is functioning and whether it is meeting legal and organisational requirements.

4. H&S field audit

A planned, systematic assessment of work activities, behaviours, and controls at the point where work is being performed to verify that H&S requirements are being effectively implemented and followed in practice.

5. Site monitoring visits

Planned visits to a workplace, worksite, or operational location to check that H&S controls, procedures, and standards are being followed and that risks are being effectively managed. Elements additional to H&S may be included e.g. quality assurance, contract and operational requirements etc.

6. Aviation H&S audits (Helicopters and Drones)

May be a combination of systems and field-based audits. Due to the wide scope of health and safety and

the complexity of aviation operations, it is recommended that audits be undertaken by auditors qualified and experienced in the aviation industry and health and safety (see below).

7. Suitably qualified and experienced H&S auditor

An individual who can demonstrate recognised H&S competence, auditing capability, and relevant industry experience sufficient to plan, conduct, evaluate, and report on H&S audits in an objective, and professional manner.

Evidence of suitability may include:

- Relevant tertiary or professional H&S qualifications (with a minimum of NZQA Level 4 H&S qualification).
- Membership of a recognised professional body (e.g. NZISM).
- Auditor training aligned with recognised standards such as ISO 45001.
- Knowledge of the H&S at Work Act 2015 (HSWA) and associated regulations.
- Demonstrated experience auditing organisations of similar size, complexity, or risk profile.
- At least four years' experience in a H&S related role.
- Completed various courses related to critical risks on sites, for e.g. Off-Road Driving, Light Utility Vehicle (LUV) Operator, Chainsaw safety, Chemical handling (e.g. Grow Safe), Mechanical Control, (e.g. ROPs), Tree Felling.
- Aviation industry experience (Aviation audits).

Note: if it is stated that "experienced only" is a requirement this simply means no formal auditing qualification is required.

8. Pre-qualification audit

An independent assessment that verifies a business or contractor has an effective H&S system in place before work can be awarded. Pre-qualification auditing is undertaken as part of the contractor selection process and is not explained further in this document. This is not deemed to be a H&S systems audit for the purpose of this audit programme.

9. Safe Behaviour Observation (SBO)

These observations are about spotting unsafe practices or conditions before they escalate, e.g. incorrect use of personal protective equipment, equipment failure, or unsafe work activities. It is often an employee driven process. Contractors may use checklists outlining critical safe behaviours (controls) to conduct observations of their peers. Note: For the purposes of this audit programme, SBOs are not deemed to be H&S field audits for the purpose of this audit programme.

H&S Audits

New Zealand's H&S standards are governed by the Health and Safety at Work Act 2015 (HSWA), supported by regulations, codes of practice, and standards to ensure safe workplaces.

Standards New Zealand develops and provides access to national and international standards, including ISO and joint Australian/New Zealand standards, which support compliance and best practices in workplace safety. AS/NZS ISO 45001:2018 is the current recognised standard for occupational H&S management systems. This standard can be used for a H&S Systems Audit.

The Programme team has identified the following minimum requirements for the H&S audits carried out by (or on behalf of) Councils, the Programme team and other parties.

1. H&S Systems Audit – Ground Based Operations

This is usually done as a desktop, office-based audit. The minimum standards for H&S systems audit are ensuring that all relevant H&S policies and procedures are in place, as listed below (where applicable). Evidence of implementation and monitoring of these policies and procedures must be provided during the audit. Appendix 1 is an example of a H&S Systems Audit that can be used.

A H&S Systems Audit should include the following information:

- H&S policy and leadership commitment
- Governance and accountability arrangements
- Hazard and risk management processes (incl. management of critical risks)
- Incident reporting and investigation systems
- Worker engagement and participation
- Training and competency management
- Contractor management
- Emergency preparedness and response
- Health monitoring and wellbeing programmes
- Performance measurement, monitoring, and reporting
- Continuous improvement
- Commentary should be provided for each of the points reviewed by the auditor (not simply ticking yes or no)
- Documenting and reporting results of audit findings (incl. taking photos).
- Ensuring there are processes in place to identify and follow up on corrective actions.
- Upload into WCIS.

2. H&S Field Audit – Ground Based Operations

This will be done in the field while an operation is in progress. Appendix 2 is an example of a H&S Field-Based Audit that can be used.

The minimum standards for H&S field-based audits are:

- Reviewing policies: Ensuring that all key H&S policies are in place and being followed. This is a brief overview only as this is not intended to be a systems audit. For example, that a Site-Specific Safety Plan

(SSSP) (or similar) is in place and being followed.

- Inspecting the worksite: Conducting physical inspections of the workplace and observation of work being carried out to identify potential hazards. The focus should be on a selection of critical risks (as recorded in the hazard register) and work activities to identify key controls and determine if these are in place and working effectively. Standard Operating Procedures (SOPs) or similar may be in place to assist with this.
- Interviewing employees: Gathering feedback from employees about their experiences and concerns regarding H&S.
- Commentary: should be provided for each of the points reviewed by the auditor.
- Documenting and reporting results: Keeping records (incl. taking photos) of the audit findings and reporting them to relevant stakeholders.
- Ensuring there are processes in place to identify and follow up on corrective actions.
- Upload into WCIS.
- An example of a standardised tool being used is Survey123.

3. Site Monitoring Visits – All Operations

This will be done in the field while an operation is in progress. Those undertaking site monitoring visits have the flexibility to include key elements that they want to review during the visit. Consideration should be given to including the following as a minimum standard:

- H&S Measures: Assess compliance with H&S regulations, SOPs, SSSPs, protocols.
- Site Conditions: Evaluate the overall condition of facilities and equipment.
- Compile Observations: Document relevant observations and photographs taken during the visit.
- Draft a Report: Use a structured format to summarize findings and recommendations for stakeholders. A simple checklist with room for comments may be sufficient.
- Follow-up: Communicate any necessary actions or changes based on observations made during the visit.
- Upload into WCIS.

4. Aviation H&S Audits - Helicopter and Drone Operations

Helicopter and Drone operations represent a significant risk. These risks must be documented, and suitable controls be put in place. Part of the risk control and assurance system for councils is a review of Helicopter and Drone operator compliance against their duties under HSWA, including how risks are identified and managed and how documented systems are implemented in the workplace (work as planned versus work as done).

Compliance against Civil Aviation requirements can be taken from the operator achieving and maintaining certification against the relevant Rule Parts for the operations being undertaken. Appendix 3 is an example of Aviation H&S Audit questions that can be used.

Operator H&S audits should be undertaken at least biennially (ever 2nd year) unless an operator requires auditing more often, as indicated by the risk profile of the operator and the activities undertaken.

Audits (which can be a combination of a systems and a field based audit) should include:

- operator certifications
- insurances
- related CAA and FENZ audit findings

- personnel certifications such as appropriate licences/VTA authorisations, etc.
- ground operations and airborne procedures, to include equipment attached to, or underslung on an aircraft, as these relate to such activities.
- ensuring processes are in place for notifying neighbouring properties prior to chemical applications
- procedures for working around or near sensitive locations (such as schools and hospitals)
- control and management of hazardous substances
- a focus on critical risk management.

Note: The FENZ audit is directly aligned with an operator's ability to provide firefighting capability. It is not a H&S audit and cannot be relied upon to meet HSWA requirements.

CAA audits against the Civil Aviation Act and supporting regulations (called Rule Parts). They normally only audit against the Rules the operator is currently certificated for or is applying for. They do target operators by sector risk. Each Rule Part audit has different questions, to reflect the different activities undertaken. The audit cycle is not aligned with recertification and does not always include a visit to the operator's location. The Civil Aviation Act does not include health and safety considerations, other than risks such as pilot fatigue.

Risk-Based and Contract Scale Sampling Approach

- It is recommended that a risk-based sampling approach is used to select contractors for all audits.
- This includes a focus on high-exposure activities, areas with increasing incident trends, new contractors, contractor undertaking new activities and contractors with poor previous audit performances.
- The scale and cost of the contract can be considered when identifying which contractors to audit, with a focus recommended on large higher cost contracts where the risk is also likely to be higher.

Recording, Reviewing and Reporting

- Councils will meet the agreed H&S auditing programme targets as documented below and in the 2026/27 H&S Management Plan.
- Councils will document audits completed and upload audit reports to WCIS each month. (Note: not all site visits need to be uploaded into WCIS, only those deemed to be "audits" for the purpose of this programme i.e. systems, field based, and site monitoring visits).
- H&S audit reports will be reviewed each month by the Programme Team Senior H&S Advisor.
- Quarterly progress reports (including corrective actions) will be provided by the Senior H&S Advisor to Fund Managers, OAG and the Governance Group. Reports will include a summary of audits completed, tracking of corrective actions, analysis of findings, trends and opportunities for improvement.

Corrective Action Process

- Any non-conformance will create a corrective action seeking improvement within an agreed timeframe.
- It is important auditors enter specific comments so others can understand the rationale behind findings.
- Generally, timeframes to complete corrective actions will not exceed three months. Any corrective action that has not been completed within the set timeframe will be escalated to the Fund Manager.
- Corrective actions will be documented and progress monitored in a tracking register by the Senior H&S Advisor.

Recommended Auditing Programme for Regional Councils

1. Ground Based Operations Contractors

- 75% of ground-based contractors in each Region will have a H&S systems audit completed at least once per year by an internal or external experienced and suitably qualified H&S auditor.
- 75% of ground-based contractors in each Region will have a H&S field audit completed at least once per year by an internal or external experienced auditor. They do not need to be qualified auditors.
- Cross-regional auditing is acceptable for the H&S systems audits only.
- A risk-based and contract-scale approach is used to select which contractors will be audited.
- Incident investigation findings may require a H&S systems and/or field-based audit to be completed.
- All audit reports are uploaded to WCIS.

To find qualified auditors for this type of work in NZ check out Safetree:

https://www.safetree.nz/certification

2. Helicopter Operations Contractors

- All helicopter operations contractors in each Region will have an Aviation H&S audit completed at least biennially by an internal or external experienced and suitably qualified H&S and Aviation auditor.
- **Note:** due to the nature of helicopter operations, it may be difficult to arrange an audit, for example when a contractor only carries out short-term work in the Programme or difficult access to the worksites such as alpine areas. This should be discussed with a Senior Adviser in the Programme team (e.g. at bi-monthly meetings).
- Cross-regional auditing is acceptable for these Aviation H&S audits.
- A risk-based and contract-scale approach is used to select which contractors will be audited.
- Incident investigation findings may require a H&S audit to be completed.
- All audit reports are uploaded to WCIS.

Note: a list of auditors qualified to do this work is not currently available.[1]

3. Drone Operations Contractors

- All drone operations contractors in each Region will have an Aviation H&S audit completed at least once biennially by an internal or external experienced and suitably qualified H&S and Aviation auditor.
- Cross-regional auditing is acceptable for these audits.
- A risk-based and contract-scale approach is used to select which contractors will be audited.
- Incident investigation findings may require a H&S audit to be completed.
- All audit reports are uploaded to WCIS.

Note: a list of auditors qualified to do this work is not currently available.

[1]See the H&S Professionals website for information on registered H&S professionals available in New Zealand: https://www.hasanz.org.nz/hasanz-register

Auditing Programme for MPI – The Programme Team

- The Programme team will complete H&S systems, field-based audits and/or site monitoring visits using a risk-based sampling approach to ensure that H&S requirements are being met.
- The Programme team will engage external auditors to complete audits for selected contractors.
- Any auditing carried out by the Programme Team is in addition to the auditing requirements for Councils.
- The Programme Team will coordinate site visits and audits with Councils wherever possible.
- All audit reports are uploaded to WCIS.

Further Information

If you require further information or have any queries, please contact the Senior H&S Advisor in the Programme team. Email donna.burt@mpi.govt.nz or wilding.conifers@mpi.govt.nz

Appendix 1: Example of a H&S Systems Audit

Contractor Health and Safety Systems Audit			
Contractor details			
Contractor company name			
Region		Management Unit	
Industry		Type of Work	
Physical address			
Postal address			
Key contact person		No. of employees	
Phone		Email	
Auditor details			
Date of audit		Auditor Name	
Company		Email	
Date copy of audit provided to contractor			

This audit is intended as a H&S systems audit example only and is not designed to be exhaustive or cover all aspects of a contractor's operations. Additional audit criteria may be required depending on the nature, scope, and risks of the work being undertaken.

The audit findings are based on information provided by the contractor and are intended to indicate the level of compliance with the requirements of the Health and Safety at Work Act 2015 (HSWA).

Evidence must be obtained to support audit findings. All relevant evidence should be attached to the audit report.

Where non-conformances or improvement opportunities are identified, a corrective action plan should be developed, discussed with the contractor, and implemented within agreed timeframes.

This audit has been divided into key criteria. These criteria are based on the requirements of the health and safety legislation, regulations and industry best practices, which have been identified as being essential components of an effective health and safety management system. Within each criterion a rating is given to match the level of compliance with the questions asked.

The rating method for assessment is detailed below.

Audit rating		
Rating	**Category**	**Descriptors**
Yes	Fully compliant	Process and evidence meet the criteria.
Partially	Partially compliant	Some processes are not fully implemented, and evidence is lacking – improvement is needed for full compliance.
No	Non-compliant	No processes or evidence to meet criteria. Actions are required.
n/a	Non-applicable	Criteria are not needed or not applicable to the process being audited.

1. Health and safety policy				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
1.1	Is there a documented policy that reflects the company's commitment to the health and safety? Refers to regulations, responsibilities re H&S, worker participation, reporting and recording of events, early return to work, management commitment etc. includes members of the public, damage to third-party property.	• Current and signed by chief executive or senior management and dated • Reviewed 2 yearly • Widely distributed		
1.2	Is there a documented policy/procedure that outlines the company's drug and alcohol management?	• Current and signed by chief executive or senior management and dated • Reviewed 2 yearly • Widely distributed		
1.3	Is there a documented policy/procedure for smoke-free environment?	• Current and signed by chief executive or senior management and dated • Reviewed 2 yearly • Widely distributed		

2. Hazard and risk management				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
2.1	Is there a procedure for hazard/risk management in place?	• Written procedures		
2.2	Is there a process identifying hazards? Are all hazards identified?	• Written procedures • Actual/potential hazards		
2.3	Has a risk assessment been applied?	• Hazard/risk register		
2.4	Have effective controls been developed for all hazards/ risks?	• Has eliminate/ minimise hierarchy of controls been followed • Hazard/risk register		
2.5	Are hazards/ risks and controls regularly reviewed?	• Written evidence		
2.6	Are SOPs in place?	• Documented procedures		
2.7	Are experienced people leading the hazard/risk identification process?	• Training records/ competency		
2.8	Is there a procedure for managing changes due to new/altered plant and processes? Procedure includes hazard identification and risk assessment.	• Documented management of change (MoC) procedure		
2.9	Is there a procedure for issue, maintenance, testing and renewal of safety equipment including PPE?	• Documented procedure • Calibration/ testing records		

2. Hazard and risk management				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
2.10	Is there a worksite safety plan procedure in place with regular tailgates?	• Documented procedure • Evidence it is carried out		
2.11	Are consultation and cooperation between site PCBUs (overlapping duties) active?	• Written evidence		
2.12	Are there procedures for high-risk activities (i.e. confined space, working at height, hot work, traffic management) in place?	• Documented procedure • Evidence it is carried out		
2.13	Are controls in place to ensure visitors and the public have minimal exposure to hazards/risks?	• Designated areas		

3. Consultation, engagement and participation				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
3.1	Is health and safety regularly discussed at team meetings?	• Written evidence – meeting minutes		
3.2	Are workers actively involved in and consulted on health and safety matters including hazard management, health and safety planning and emergency readiness?	• Written evidence – site specific safety plan/ preliminary pack		

3. Consultation, engagement and participation				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
3.3	Are there health and safety representatives trained and committee in place?	• Documented procedure		

4. Environmental management commitment				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
4.1	Is there a documented policy that reflects the company's commitment to the environment? Refers to relevant environmental legislation and outlines environmental objectives, responsibilities and commitment for improvement.	• Signed by chief executive or senior management and dated • Widely distributed • Reviewed 2 yearly • Considered public safety and third-party damage		
4.2	Is environmental performance regularly reviewed?			
4.3	Is there a list of hazardous substances that are stored and handled?			
4.4	Are copies of Safety Data Sheets (SDS) onsite for the hazardous substances being used?			
4.5	Are there procedures and controls in place for the lifecycle of hazardous substances stored and handled?			

4. Environmental management commitment				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
4.6	Are there appropriate numbers of personnel trained as Approved Handlers in accordance with the Hazardous Substances Act/ Regulations/ Controls requirements for stored & handled goods			

5. Incident and injury reporting, recording and investigation				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
5.1	Is there a procedure for reporting, recording and investigating all incidents and injuries including near misses?	• Written procedure • Incident and reporting forms		
5.2	Does the procedure include reporting requirements to the relevant XYZ business unit of any incident or injury that occurs on an XYZ worksite?	• Documented reporting procedure		
5.3	Does the procedure include legal reporting and non-interference requirements?	• E.g. WorkSafe NZ, MNZ, CAA, ESS		
5.4	Is there a maintained accident/ incident register?	• Sighted		

5. Incident and injury reporting, recording and investigation				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
5.5	Are all incidents and injuries including near misses investigated?	• Completed forms		
5.6	Is there a procedure on how to carry out an investigation?	• Description of incident • Basic and underlying cause • Controls to prevent reoccurrence		
5.7	Is there a process for corrective action following an investigation?	• Records of corrective actions implemented		
5.8	Is a regular review conducted on the incident and injury data and investigation reports to identify incident and injury trends	• Written evidence • Near miss events		
5.9	Is there a rehabilitation policy and procedure in place to aid employees to return to work?	• Written evidence		
5.10	Where this has been implemented, are there documents to show plan in action?	• Examples of completed plans		

6. Emergency planning and readiness				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
6.1	Is there an emergency plan in writing?	• Types of emergencies likely to affect the business have been identified and response plan documented		
6.2	Is there a site-specific emergency response plan?	• Response plan documented		
6.3	Have emergency drills been carried out in the last 6 months with review?	• Records of drills and review outcomes		
6.4	Are emergency procedures somewhere onsite for all to see?	• Evidence sighted • Up to date?		
6.5	Have all workers received training in emergency procedures?	• Written evidence • Must be covered in the induction		
6.6	Are there enough workers with current first aid certificates?	• Training records		
6.7	Are workers provided with a means to obtain outside communication?	• Radio • Phone		
6.8	Is sufficient emergency equipment available for planned emergency situations i.e. fire extinguishers/first aid kits and so on?	• Available • Trained in safe use of?		

6. Emergency planning and readiness				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
6.9	Where specialised equipment is required for emergency management, have workers had sufficient training its use?	• Training records/ emergency response drills		

7. Plant and equipment				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
7.1	Are there procedures for maintenance of plant and machinery while operating in place?	• Documented procedures		
7.2	Is there a service schedule for machinery/vehicles in place and current?	• Written evidence		

8. Health monitoring				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
8.1	Is there a procedure for performing baseline health monitoring on employees?	• Documented procedure • Evidence it is carried out		

8. Health monitoring				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
8.2	Is there a process for ongoing monitoring of health for employees exposed to health hazards (i.e. noise, dusts, fumes)?	• Documented procedure • Evidence it is carried out		
8.3	Is there a procedure for the management of sub optimal results following health monitoring	• Documented procedure • Evidence it is carried out (evidence can be verbal)		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
9.1	Is there an induction programme in place for all new employees on policies, procedures/safe work practices?	Records for induction training on: • Emergency procedures • Injury/incident reporting • Hazard management • Employee/employer responsibilities • Use/maintenance of safety equipment/ PPE		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
9.2	Does the health and safety induction programme cover the requirements of the applicable XYZ business unit where company will be/is working	• Copy of applicable and current XYZ inductions programmes		
9.3	Are employee's training needs determined to ensure employees are adequately trained for specific roles and tasks? (licences/certificates)	• Licences/certificates up to date • Training records/ plans		
9.4	Are employees trained in the safe use of plant, equipment & PPE?	• Training/ competency records		
9.5	Does employee's health and safety training needs include any specific training requirements by XYZ?	• Written evidence of training records		
9.6	Are all employees who do not have the knowledge and experience required to perform a job or task adequately supervised by someone who is competent?	• Clear decisions made based on knowledge and experience • Training records maintained		
9.7	Are employees provided with information regarding hazards to which they are exposed to, or which they may create?	• Tailgate records • SSSP/ prelim pack		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
9.8	Are the people who deliver health and safety training competent to do so?	• Written evidence • Records of trainer's skills, experience or qualifications • How is the responsibility for supervising new employees determined		
9.9	Is information on HSE available to all employees?	• Safety information (signs, posters) displayed • Access to process and procedures		
9.10	Is adequate follow up of training programmes in place?	• Continued development • Refresher training		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
10.1	Is there a subcontractor selection method specifically around HSE?	• Evidence of approved contractor process		
10.2	Is there a procedure and process in place to manage their subcontractors including a health and safety induction for all contractors?	• Written evidence		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
10.3	Are their subcontractors periodically audited for HSE compliance??	• Documented evidence		
10.4	Does the contractor have a process for informing XYZ of the hazard's subcontractors are bringing into our workplace?	• Written evidence		
10.5	Is there a process for ensuring subcontractors have the necessary training/ competency and currency is maintained?	• Documented evidence (audits)		
10.6	Is adequate hazard identification and implementation of controls occurring?	• Documented evidence		
10.7	Are procedures in place to test/ monitor/review all PPE on worksites with dates noted for follow-up inspections?	• Documented evidence • Internal audits occurring • Results available		
10.8	Is there participation in a collaborative approach to safety (Who Manages Who)?	• Documented evidence • Feedback given		
10.9	Is the subcontractor's workforce engaged in a commitment to safety?	• Review of tailgates		

9. Information, training and supervision				
No.	**Criteria**	**Prompts/notes**	**Comments/recommendations**	**Audit rating (yes, partly, no, n/a)**
10.10	Is there a process in place to manage the Drug and Alcohol policy and meet the minimum requirements of XYZ?	• View procedures • Evidence of random testing		
10.11	Are post contract evaluations carried out?	• Documented evidence		

This employee knowledge section is a vital link between the workforce team members, since communication and active participation are vital to help reduce harm and learn from previous events.

11. Employee knowledge							
No.	**Questions**	**Employees interviewed**				**Comments/ recommendations**	**Audit rating (yes, partly, no, n/a)**
		Employee A		Employee B			
		Yes	No	Yes	No		
11.1	Do you understand what is in the company health and safety policy?						
11.2	Where can health and safety information be found?						
11.3	Are there meetings where you discuss safety and when was the last one held?						
11.4	Can you explain the risk management procedures?						
11.5	Can you explain to me some of the risks identified?						
11.6	What are the control methods used to manage risk?						
11.7	Do you know what your responsibilities are under the HSWA?						
11.8	When you were first employed what supervision was given to you?						
11.9	What would you do if you are involved in an accident, incident or near miss?						
11.10	What should be done with the scene of an accident?						
11.11	Is there a rehabilitation procedure if you are hurt at work?						
11.12	Do you know the location of a first aid kit, fire extinguisher and spill kit?						

11. Employee knowledge							
No.	**Questions**	**Employees interviewed**				**Comments/ recommendations**	**Audit rating (yes, partly, no, n/a)**
		Employee A		Employee B			
		Yes	No	Yes	No		
11.13	Who do you talk to if you have any concerns regarding health and safety?						
11.14	If you are an employee of a subcontractor, do you understand the overall policies onsite?						
11.15	If you are an employee of a subcontractor how were the above polices explained to you?						

Note: last two questions will be N/A if employees are not those of a subcontractor.

Appendix 2: Example of a H&S Field-Based Audit

Health and Safety Field Audit			
Contractor details			
Contractor company name			
Region		Management Unit	
Industry		Type of Work	
Physical address			
Postal address			
Key contact person		No. of employees	
Phone		Email	
Auditor details			
Date of audit		Auditor Name	
Company		Email	
Date copy of audit provided to contractor			

This audit is intended as a H&S field-based audit example only and is not designed to be exhaustive or cover all aspects of a contractor's operations. Additional audit criteria may be required depending on the nature, scope, and risks of the work being undertaken.

The audit findings are based on information provided by the contractor and are intended to indicate the level of compliance with the requirements of the Health and Safety at Work Act 2015 (HSWA).

Evidence must be obtained to support audit findings, including photographs where appropriate. All relevant evidence and photographs should be attached to the audit report.

Where non-conformances or improvement opportunities are identified, a corrective action plan should be developed, discussed with the contractor, and implemented within agreed timeframes.

The auditor may use a sampling approach when assessing compliance. Where sampling has been applied, this should be documented in the audit summary.

The rating method for assessment is detailed below.

Audit rating		
Rating	**Category**	**Descriptors**
Yes (✓)	Fully compliant	Evidence provided that the procedure is in place and working effectively.
No (X)	Non-compliant	Lack of or no evidence of a procedure being in place and working effectively. Actions are required.
n/a	Non-applicable	Criteria are not needed or not applicable to the work being audited.

Section 1	H&S Policies	Comments/Recommendations	Yes (✓)	No (X)	NA
1	A signed and dated copy of H&S policy is on-site				
2	A signed and dated copy of Drug & Alcohol policy is on-site				
3	D & A testing is carried out as per policy/procedure				

Section 2	Risk Management	Comments/Recommendations	Yes (✓)	No (X)	NA
1	A SSSP or equivalent is available				
2	Information on critical risks is provided to the contractor by the Council/ Project Manager				
3	Visitors are inducted to the site				
4	Hazards are documented in a hazard register and/or the SSSP (or similar)				
5	Risk assessments are completed and available on site				
6	Daily toolbox meetings are completed				
7	Ask a worker to name some critical risks on site and how these are controlled (managed)				
8	Incident reporting forms are available (or an app etc.), and incident register is up to date				

Section 2	Risk Management	Comments/Recommendations	Yes (✓)	No (X)	NA
9	Evidence of incidents notified to WorkSafe if applicable				
10	Regular health and safety meetings are held				
11	Safe Behaviour Observations (SBO) or similar, are being completed				
12	Audits and inspections on plant, machinery and equipment are completed				
13	Corrective actions are recorded and followed up				
14	Work plans recorded – including tree felling (plan for trees greater than 20cm at stump diameter)				
15	WorkSafe NZ is notified of tree felling operation (when applicable)				
16	Workers have a pre-employment health assessment completed				
17	A health monitoring programme is in place e.g. annual hearing tests, lung function tests, skin checks				
18	A fatigue management plan/ programme is in place				

Section 3	Induction and Training	Comments/Recommendations	Yes (✓)	No (X)	NA
1	An induction programme is in place for workers				
2	A training programme and matrix is in place with training records maintained				
3	Workers are supervised when they are new or inexperienced in a task, with plant, equipment etc				
4	Worker training includes management of nutrition, hydration, health risks, fatigue, and drugs and alcohol				

Section 4	Emergency Management	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Site emergency evacuation procedures are documented e.g. in SSSP				
2	Locations of emergency equipment are known by all on site				
3	2 methods of emergency communications is available on site				
4	At least two personnel on site are current first aiders				
5	Emergency procedures have been tested/practiced and are known by workers				

Section 5	Personal Protective Equipment (PPE)	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Maintenance and replacement programme in place with regular checks of PPE completed				
2	Helmets are clean, no cracks, not painted and dated, not more than 3 years old (plastic)				
3	Hi Vis vests are clean, visible and have minimum 40% hi vis material				
4	Chainsaw operators wear chaps, no rips or cuts, no broken straps				
5	LUV (or other UTV). Helmets (with chin strap) must be: Worn by all operators and passengers. An approved safety helmet provided as per NZS8600:2002. Helmet is less than 5 years old.				
6	Workers hold unit standards for operating an LUV or UTV				
7	Eye protection is worn, safety glasses or mesh visor when operating chainsaw or chemical				
8	Ear protection is worn, grade 5 for chainsaw operator				
9	Boots, steel capped boots, chainsaw boots worn and maintained				
10	Gloves suitable for task available				
11	Fire extinguisher carried in vehicle				
12	Sunscreen available				

Section 6	Chemicals	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Inventory of chemicals is available on site				
2	Substances are clearly labelled and stored/separated in accordance with SDS. No chemicals are decanted into drink containers or similar				
3	SDS are less than 5 years old and accessible/available at site. Can be found and viewed within 10 mins at all times				
4	Spill kits are available when applicable				
5	PPE is worn when mixing and applying e.g. respirator, gloves, protective clothing				

Section 7	Vehicles	Comments/Recommendations	Yes (✓)	No (X)	NA
1	All vehicles have current WOF/COF/ REGO + (Road User Charges (RUC) where applicable)				
2	First aid kit & fire extinguisher are current and maintained				
3	Off-road vehicles have a spark arrester				
4	Regular vehicle inspections completed				
5	Tools kept in a separate compartment or secured within the vehicle				
6	Workers trained in the use of 4WD vehicles to NZQA standards				

Section 8	Drill & Fill	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Correct technique used (holes no further than 20cm apart, appropriate angle)				
2	Following good practice guides				
3	Using the chemical/s recommended for the tree species				
4	Correct containers used				
5	Appropriate PPE used (as per SDS)				

Section 9	Handsaws, Hatchets & Loppers	Comments/Recommendations	Yes (✓)	No (X)	NA
1	3m spacing between workers				
2	Holster used to carry tools				
3	Safety glasses used (where applicable)				
4	Hi viz clothing is worn				
5	Safety footwear is worn				

Section 10	Chainsaws	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Leg protection/chaps used and in good condition				
2	Hi Vis clothing used				
3	Helmet < 3 years old				
4	Hearing protection (class 5) used				
5	Safety boots, with steel toe cap and ankle support is worn				
6	Eye protection used				
7	Chainsaw mitt (4 laces) used				
8	Chain brake functioning				
9	Chain catcher peg				
10	Stop/Start switch				
11	Throttle lock				
12	Anti-vibration mounts in good condition				
13	Spark arrestor used				
14	Chain stationary when idling				
15	Approved fuel containers used				
16	Fire extinguisher available				
17	If working away from vehicles an emergency bag is carried which includes two large wound dressings.				

Section 11	Tree Felling	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Felling technique – check/discuss with worker				
2	Stump quality assessed				
3	2 tree length rule is applied when felling				
4	Not working alone				
5	Radio communication system in place between tree fallers				
6	Large tree felling - fallers have: 4 wedges, hammer/mallet, first aid kit, fire extinguisher and emergency communication				
7	(Trees under 20cm diameter) Tree fallers must hold unit standards 6916 and 6917 or be under documented training and close supervision. Demonstrate knowledge of the rules relating to chainsaw use (6916). Demonstrate basic chainsaw operation (6917)				
8	(Trees over 20cm diameter) Tree felled using a scarf, hinge wood and back cut				
9	(Trees over 20cm diameter) Tree faller knowledge e.g. check knowledge of the 5-step felling plan: i. Assess the site ii. Assess the tree iii. Prepare work area and escape route iv. Use the correct safe felling techniques v. Retreat and look up				

Section 11	Tree Felling	Comments/Recommendations	Yes (✓)	No (X)	NA
10	Trees over 20cm diameter) Tree faller must hold unit standard 17766 (Fell trees safely using a chainsaw) or be under documented training and close supervision				
11	(Trees over 20cm diameter) Hazardous trees - tree faller must hold unit standard 28562- (Assess and manage individual hazardous trees) or be under documented training and close supervision				
12	(Trees over 20cm diameter) Tree faller is carrying 4 wedges, hammer/ mallet, first aid kit, fire extinguisher and emergency communication				

Section 12	Workplace Facilities	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Toilet facilities are available on site				
2	Drinking water is available on site				
3	Hand washing facilities are available on site				
4	Shelter is available for workers to take rest breaks.				

Section 13	Mobile Plant	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Operator has been deemed competent i.e. holds the relevant unit standard or is under documented training and close supervision				
2	Machine has the correct protective structure certification for forestry and land pre work. Roll overprotective structure (ROPS) ISO 8082, Falling object protective structure (FOPS) ISO 8083 and Operator protective structure (OPS) ISO 8084				
3	Front window is fitted with polycarbonate to protect the operator from chain shot or other intrusion hazards				
4	Machine has a 75mm lap belt. (A 50 mm wide seatbelt is suitable for a full body harness or a harness with shoulder straps but not a lap belt)				
5	Machine is fitted with a fire extinguisher or fire suppression system				
6	Machine is in good working order e.g. no missing guards, broken windows				

Section 14	Arboriculture	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Safe Operating Procedures are in place for aerial work				
2	Arborists and grounds persons hold relevant unit standards (level 4) or are under documented training and close supervision relevant to level of risk				

Section 14	Arboriculture	Comments/Recommendations	Yes (✓)	No (X)	NA
3	Fall restraint with sufficient weight for equipment and rescuer is used and maintained				
4	Emergency plan is in place for aerial rescue				
5	When ascent is above 3m the 2nd person must be trained in aerial rescue and have suitable rescue equipment (confirm training and competencies)				
6	Key hazards are identified e.g. Decay or rot, dead branches, interlocking branches, powerlines, members of public present				
7	Demarcation of site carried out if required				
8	Helmet with chin strap – secured is worn and maintained				
9	Chainsaw lanyards used				
10	Two anchor points at or above the level of the cut				
11	Carabiners 22Kn or above and are autolocking				
12	Storage of climbing lines – in a clean bag or equivalent				
13	If assisted directional felling – using correct techniques and distances				
14	Scarf is 125mm of diameter of trunk at breast height				

Section 15	Woodchipper Operations	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Operators are trained and competent to relevant unit standards				
2	Safe operating procedure in place in line with good practice				
3	Operators are protected from contact with infeed rollers				
4	Guarding is in place, in good condition and working				
5	Lockout procedure is in place and known by operators				
6	Protection devices are kept clear of debris				
7	Suitable PPE is worn e.g., no loose clothing, glasses etc.				

Section 15	Summary of Findings, Gaps & Recommendations

Appendix 3: Example of Aviation H&S Audit Questions

Aviation H&S Audit			
Contractor details			
Contractor company name			
Region		Management Unit	
Industry		Type of Work	
Physical address			
Postal address			
Key contact person		No. of employees	
Phone		Email	
Auditor details			
Date of audit		Auditor Name	
Company		Email	
Date copy of audit provided to contractor			

This audit provides example health and safety questions to include in aviation systems and/or field-based audits. Further audit considerations are outlined in Appendices 1 and 2.

The audit questions are indicative only and are not intended to cover all operational, technical, or organisational aspects of a contractor's aviation activities. Additional audit criteria may be required based on the specific nature, scope, and risk profile of the operations being assessed.

The audit findings are based on information provided by the contractor and are intended to indicate the level of compliance with the requirements of the Health and Safety at Work Act 2015 (HSWA).

Evidence must be obtained to support audit findings, including photographs where appropriate. All relevant evidence and photographs should be attached to the audit report. Where non-conformances or improvement opportunities are identified, a corrective action plan should be developed, discussed with the contractor, and implemented within agreed timeframes.

The rating method for assessment is detailed below.

Audit rating		
Rating	**Category**	**Descriptors**
Yes (✓)	Fully compliant	Evidence provided that the procedure is in place and working effectively.
No (X)	Non-compliant	Lack of or no evidence of a procedure being in place and working effectively. Actions are required.
n/a	Non-applicable	Criteria are not needed or not applicable to the work being audited.

Section 1	Before Helicopter Operations Commence	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Agreed flight plan communicated between pilot and all ground crew?				
2	Site specific briefing held?				
3	Emergency landing area is identified?				
4	Road control in place and in accordance with approved TMP?				
5	Rigging appropriate and daily check carried out and recorded				
6	Is designated safe area in place and adhered to?				
7	Is dust of other hazards from rotor wash managed effectively?				
8	Radio communication between ground and air is working effectively?				
9	Visitors have approval, are controlled and view from a designated safe area?				

Section 2	Wanding	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Pilot has: Certification under CAA				
2	Pilot has: Grade 1 current AG rating				
3	Pilot has: Current chemical rating				
4	Company has: AOC registration				
5	Company has: Part 137 Approvals Specification				

Section 2	Wanding	Comments/Recommendations	Yes (✓)	No (X)	NA
6	Company has: Section 12 conditions imposed for wanding				
7	Wand operator: has inspected equipment				
8	Wand operator: Holds chemical applicator certificate				
9	Wand operator: Has appropriate training records				
10	Wand operator: Has completed a comms check with pilot				
11	Wand operator: Has a method to control wand and spray				
12	Wand operator: Has PPE available and fit for purpose				
13	Wand operator: Understands emergency procedure				
14	Wand operator: Pilot has full control of on/off for wanding				
15	Wand operator: PPE – Helmet, gloves, overalls, eye protection masking				

Section 3	Operations	Comments/Recommendations	Yes (✓)	No (X)	NA
1	Operator has current Agriculture Aviation certification and CAA passenger transport certification where applicable				
2	Operator has Safety Management System (SMS) accepted by CAA				
3	Aircraft Flight Manuals/Logbooks of approved spraying equipment				

Section 3	Operations	Comments/Recommendations	Yes (✓)	No (X)	NA
4	Operator has relevant SOPs to worked being undertaken (Boom spraying/ Wanding/skid hopping transportation)				
5	Relevant hazards to helicopter operations are documented in SSSPs				
6	Operators undertake monthly staff safety meetings and are documented				
7	Management Reviews are undertaken every 12 months and are documented				
8	The operator has an Emergency Response Plan, and it is tested with staff every 12 months				
9	The above plan also includes agricultural spill response where applicable				
10	There is an internal audit schedule				
11	There is a reporting system for incidents (e.g. hazards, errors, and machinery unreliability)				

Section 4	Additional Questions	Comments/Recommendations	Yes (✓)	No (X)	NA
1					
2					
3					
4					
5					

Section 4	Additional Questions	Comments/Recommendations	Yes (✓)	No (X)	NA
6					
7					
8					
9					
10					

Section 5	Summary of Findings, Gaps & Recommendations