

Working with business

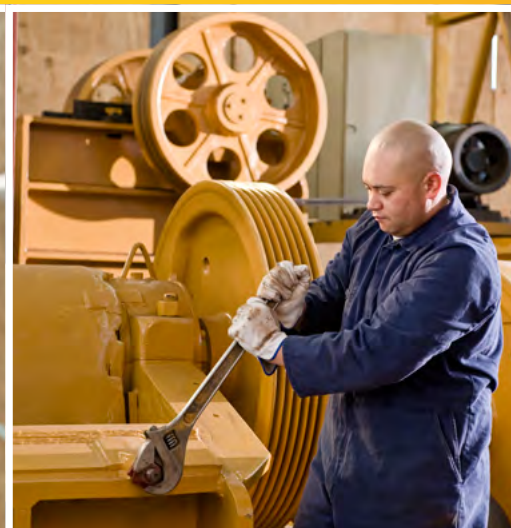


PREVENTION. CARE. RECOVERY.

Te Kaporeihana Āwhina Hunga Whara

How to implement safe workplace practices

A guide to workplace health and safety





Safety is good for business

A safe and healthy workplace is one of the keys to business success.

By establishing good health and safety practices in the workplace, a business is likely to have more motivated and productive employees, lower absenteeism rates, fewer business disruptions and reductions in the costs of sick pay and temporary replacement staff.

This will help to reduce the sometimes serious impacts of injury and illness on employees, families and the wider community – and improve the business’s reputation both in the business world and as an employer of choice.

Contents

About this guide	2
Health and Safety Improvement Cycle	4
ACC Workplace Safety Management Practices	7
Incident Investigation Process	9
Commitment	11
Workplace Safety Management Practices –Critical Element 1	15
Review, plan and action	17
Workplace Safety Management Practices –Critical Element 2	23
Hazard management	25
Workplace Safety Management Practices –Critical Element 3	52
Information, training and supervision	55
Workplace Safety Management Practices –Critical Element 4	75
Incident investigation	77
Workplace Safety Management Practices –Critical Element 5	98
Employee participation	100
Workplace Safety Management Practices –Critical Element 6	106
Emergency readiness	107
Workplace Safety Management Practices –Critical Element 7	118
Contractor management	119
Workplace Safety Management Practices –Critical Element 8	130
Return to work	131
Definitions	138

Your complying with the Workplace Safety Management Practices Audit Standard set out in this document should not be relied on as satisfying compliance with any legal and other health and safety obligations of employers. It is your responsibility as an employer to be satisfied that legal and other obligations are met.

About this guide

This step-by-step guide provides you with information on how to set up and support comprehensive systems and practices for effective workplace health and safety management practices. It also lets you know about:

- Health and Safety Improvement Cycle
- ACC's Workplace Safety Management Practices
- Incident Investigation Process.

Each section is divided into two subsections.

Part 1 provides:

- A list of key activities associated with the particular element of workplace health and safety
- Practical information on how to achieve the element in practice.

Part 2 provides:

- the Workplace Safety Management Practices Audit Standard – the requirements that your health and safety system must meet for your business to be able to join Workplace Safety Management Practices and receive the benefits it offers.

Health and Safety Improvement Cycle

The Health and Safety Improvement Cycle is a roadmap to reducing workplace injuries and illnesses. It provides useful health and safety management information for businesses. There are nine sections, which cover the following:

- Commitment
- Review, plan and action
- Hazard management
- Information, training and supervision
- Incident investigation
- Employee participation
- Emergency readiness
- Contractor management
- Return to work.

ACC Workplace Safety Management Practices

Workplace Safety Management Practices rewards and recognises employers that have implemented effective health and safety systems and practices in their workplaces. It is best suited to medium to large employers (ie. more than 10 employees).

Businesses receive:

- A framework for building successful and sustainable health and safety systems and practices in their workplaces
- 10-20% reductions in their ACC work cover levies dependent on the health and safety systems implemented.

This guide includes eight of the Audit Standards of the programme.

Incident Investigation Process

The Incident Investigation Process helps to analyse factors that contribute to injuries. It leads you to find the most effective injury prevention solutions.

When working through the Health and Safety Improvement Cycle, it is important to understand some of the factors that contribute to injuries and illnesses in your workplace.

Differences

The Health and Safety Improvement Cycle and ACC Workplace Safety Management Practices have different purposes; however, they both:

- Align with AS/NZS 4801:2001, the joint Australia/New Zealand Standard for Occupational Health and Safety Management Systems
- Provide information on comprehensive health and safety systems.

Here is a table of the differences

Health and Safety Improvement Cycle section	ACC Workplace Safety Management Practices Critical Element	
Commitment	1	Employer commitment to safety management practices
Communication	Embedded in all elements, not treated as a separate element	
Review	2	Planning, review and evaluation
Plan	2	Planning, review and evaluation
Action – Hazard management	3	Hazard identification, assessment and management
Action – Incident investigation	5	Incident and injury reporting, recording and investigation
Action – Training and supervision	4	Information, training and supervision
Action – Employee participation	6	Employee participation in health and safety management
Action – Emergency readiness	7	Emergency planning and readiness
Action – Contractor management	8	Protection from on-site work undertaken by contractors and subcontractors
Action – Injury management	3	Part of management commitment

Health and Safety Improvement Cycle

The Health and Safety Improvement Cycle is a roadmap to reducing workplace injuries and illnesses. It is a guide for building comprehensive workplace health and safety systems.

The Health and Safety Improvement Cycle provides a continuous process of improvement. By working through the Cycle, you can set up and support the comprehensive health and safety systems required to keep workplaces safe.

There are three key steps involved:

1. Review
2. Plan
3. Action.

The three steps of 'review', 'plan' and 'action' keep you working in a cycle of continuous improvement. The 'action' step includes all the key activities of a comprehensive health and safety programme. Commitment and communication are needed throughout.

Implementing health and safety systems is an ongoing process that requires constant monitoring and adjustment, with a goal of continuous improvement. The review should lead to a plan that is then translated into actions, and these actions may in turn be reviewed and lead to new plans and actions.

HEALTH AND SAFETY IMPROVEMENT CYCLE



Review

A review is important to assess your organisation's injury prevention performance. It will enable you to determine the value of your health and safety activities, and provide you with a basis for your planning. The main purpose of an initial review is to gather material to help develop an improvement plan. This could include:

- Identifying hazards and injury factors
- Identifying the effectiveness of your current systems and practices
- Establishing baselines to measure future progress
- Quantify the upfront and hidden costs of workplace illnesses and injuries.

In later reviews you will also measure progress against activities and targets in your improvement plan.

Plan

Planning involves setting goals, objectives and action steps to make improvements happen. When planning, you need to:

- Identify and specify goals. These are usually activities or controls designed to eliminate, isolate or minimise factors causing injuries and illnesses
- Determine the resources needed (time, money, people, skills, knowledge)
- Identify objectives that are SMART (specific, measurable, achievable, realistic and timely)
- Prioritise actions
- Identify measures and targets
- Create an action plan of the specific steps needed to meet your objectives.

Action

Action means developing, implementing and monitoring systems and practices. The main areas of focus for action are:

- Hazard management
- Incident investigation
- Training and supervision
- Employee participation
- Emergency readiness
- Contractor management
- Return to work.

Evaluation data collected at this stage will help you to recognise successful implementation and identify opportunities for improvement when the Cycle goes to review again.

Commitment and communication

It is vital that managers and employees are committed to the task of making the workplace safer. This can be achieved by giving safety the same status as other business and production goals.

It is important to maintain good communication with staff on health and safety issues. A good approach is to use a range of formal and informal communication channels to ensure that health and safety activities are well understood.

Need more information?

If you would like more information about how to implement good workplace health and safety systems, there are many organisations and professionals who can help. They include:

- ACC – call your local ACC branch and speak to an Injury Prevention Management Consultant
- ACC-approved auditors, who are experts in occupational health and safety. For a list of auditors, see www.acc.co.nz/approvedauditors or phone ACC on 0800 222 776
- WorkSafe New Zealand. See www.business.govt.nz/worksafe
- Occupational Health and Safety Consultants listed in the yellow pages (under ‘Occupational and Industrial Health and Safety’)
- Training and educational institutions – ask your local or national industry body, industry training organisation or polytechnic etc about occupational health and safety training opportunities; or find out about the formal qualifications available through Massey University and the University of Otago.

ACC Workplace Safety Management Practices

ACC Workplace Safety Management Practices recognises and rewards businesses that have implemented effective health and safety systems and practices in their workplaces. If you qualify, you will:

- Have a framework for building successful and sustainable health and safety systems and practices
- Receive a 10-20% ACC work cover levy reduction
- Enjoy official recognition of your commitment to the wellbeing of your staff, customers, suppliers and visitors.

What do the Workplace Safety Management Practices Audit Standards do and how do they work?

The Workplace Safety Management Practices Audit Standards determine a business's ability to meet the programme's safety performance levels. There are 10 'critical elements', which provide a framework for building workplace health and safety management practices.

Each element comprises a number of requirements that need to be met. Eight of these relate to what ACC considers to be the fundamental components of an effective workplace safety system. The remaining two elements confirm the use of those safety systems in practice.

What are the 10 critical elements?

The 10 critical elements of the Workplace Safety Management Practices Audit Standards are:

1. Employer commitment to safety management practices
2. Planning, review and evaluation
3. Hazard identification, assessment and management
4. Information, training and supervision
5. Incident and injury reporting, recording and investigation
6. Employee participation in health and safety management
7. Emergency planning and readiness
8. Protection of employees from on-site work undertaken by contractors and subcontractors
9. Workplace observation – confirmation of safe systems in action
10. Focus group interviews – confirmation of safe systems in action.

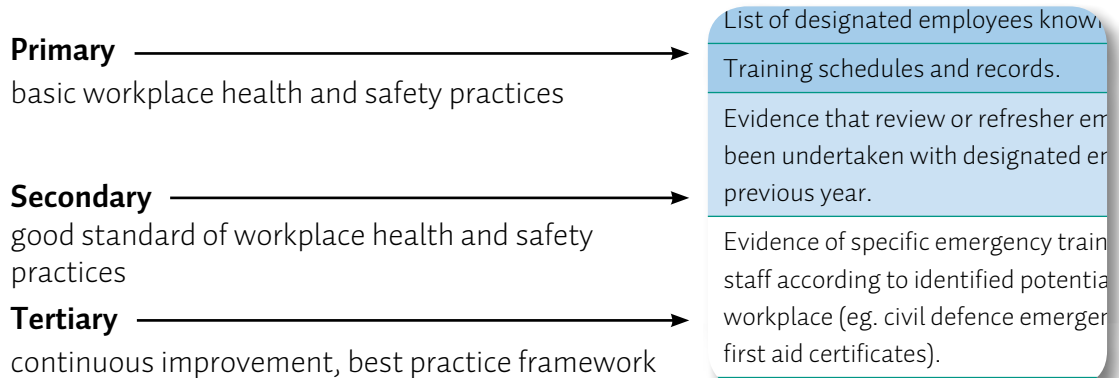
Safety performance levels

These requirements are listed according to the three health and safety performance levels that can be achieved in Workplace Safety Management Practices.

These are:

- Primary level – your business meets the basic workplace health and safety performance standards. You will receive a 10% reduction in your levy
- Secondary level – your business has adopted and demonstrates good standards of workplace health and safety practice. You will receive a 15% reduction in your levy
- Tertiary level – your business operates a continuous improvement framework for workplace health and safety management. You will receive a 20% reduction in your levy.

The health and safety performance levels are shown in the Audit Standards by shading, like this:



Incident Investigation Process

The Incident Investigation Process is one of a number of models and investigation techniques that can help you to identify the factors that contribute to a workplace incident or injury. It will help you to look at all the influences before deciding how an incident happened.



These factors relate to:

- The workplace **culture**
- The **systems** and **environmental** factors
- The way **tasks** are carried out.

Factors outside your workplace (which are generally outside your control, such as technology changes) can contribute to an incident.

The Incident Investigation Process highlights the importance of reviewing activities after the event. Making improvements can be important in reducing the severity of an injury and its effect on the injured person's quality of life.

Using the process

The starting point for this process is the event – the incident or injury. You then work backwards in time. On the following page is an example of the factors to consider.

Culture management decisions and organisational processes	Culture management decisions and organisational processes	Tasks, actions and movements	The event	Post-event
<p>How are things done around here? What priority is given to health and safety? Is it adequately funded and resourced? How do employees demonstrate their commitment to health and safety? Are they encouraged to behave in a safe way? Is risk-taking sometimes part of the organisational culture? Is such risk-taking driven by productivity demands and/or financial rewards? Is there a health and safety strategy? Is health and safety integrated into the business:</p> <ul style="list-style-type: none"> • In planning and organising individual development and training? • During decision-making about machinery, equipment and resourcing? • In relation to production goals? • In toolbox meetings and team and management meetings? 	<p>Did any systems (or lack of them) contribute to the incident or injury? Was there a hazard management system in place? Were significant hazards managed, including:</p> <ul style="list-style-type: none"> • Activities, tasks and manual handling? • Substances and chemicals? • Monitoring of hours of work? • Physical and mental fatigue? <p>Was an induction training system in place? Did it include temps, labour hire staff and new staff? Is there on-the-job training? Is there a system to ensure that employees and managers are trained in workplace health and safety issues? Were the correct tools, materials and protective equipment available? Were the maintenance systems for these items effective? Were environmental factors such as noise, temperature, light and ventilation involved? Was it necessary to monitor any of these?</p>	<p>What was being done at the time? What was the person(s) doing? Tasks factors that may contribute to an incident or injury include:</p> <ul style="list-style-type: none"> • Ineffective (or no) safety procedures • Awkward or prolonged postures • Repetitive movement and/or manual handling • Working in awkward or confined spaces • The way equipment was used (or not used) • The use (or non-use) of suitable personal protective equipment. <p>Were the movements hurried in some way?</p>	<p>What happened? Was it a work-related:</p> <ul style="list-style-type: none"> • Injury? • Occupational illness? • Aches or pain? • Near miss? 	<p>What happened after the event? Was the injury or illness dealt with promptly and correctly? Was the scene controlled well? Was a rehabilitation plan initiated?</p>

Commitment

Objective

To make health and safety a day-to-day part of your business practice, you, your managers and supervisors need to be committed to health and safety.

A place to start

The single most effective action that you and your managers can take to improve health and safety in your workplace is to champion it. If your key managers always demonstrate that health and safety is critical to the daily operation of your business, employees will too.

To achieve this, you and your managers need to have a sound understanding of health and safety issues as well as the desire to improve. Generally, this means:

- Making your health and safety expectations clear
- Being involved in making key health and safety decisions
- Supporting others' improvement efforts
- Building a caring company culture
- Financial support.

Getting started

Follow these steps to get started on, or improve, the management of health and safety in your workplace.

- **Assign safety responsibilities** for all levels of your business, from employees on the work floor to senior managers. Write them into the job descriptions.
- **Regularly share your performance** in health and safety improvements. Measure things such as the quality of the incident investigations carried out and the number of safety improvement suggestions received. Report back to employees on how things are going.
- **Build a shared vision of health and safety goals** among your managers and supervisors. Be clear about the priority of health and safety among other important business priorities.
- **Make your managers and supervisors accountable** for being seen to be involved, setting a proper example and leading your business's health and safety improvements.
- **Create a health and safety committee.** Ensure it functions well e.g. meetings are well attended, responsibilities/functions are shared, and the committee is authorised to make decisions.
- **Provide employees with ways to participate and contribute suggestions** – able to raise concerns or problems. Encourage them to share these and ideas for improvement with supervisors and managers accountable for their responses.

- **Develop a system that monitors/reviews hazard controls** with all corrective actions taken promptly. Check that corrective actions are monitored so that hazards are controlled.
- **Constantly monitor** all workplace injuries, harm and near misses and ensure that they are recorded in your accident register. Employees must understand the importance of reporting even minor incidents and near misses. At the start, this may result in an increase in the incident reporting rate – so be prepared. But this will level off and then decrease as your improvements take effect.
- **Regularly review the way you investigate incidents.** Investigations completed at the right time are effective. They should identify the genuine sources and underlying causes of incidents, and not blame employees.

Using policy statements to show your commitment

Having a health and safety policy will help you to show your employees clearly that you are committed to health and safety.

How to establish your own policy

Whatever the size of your business, an effective policy clearly states the specific health and safety responsibilities that create a safe workplace for employees. Your policy needs to specify the responsibilities of:

- Senior management¹ and supervisors
- The health and safety coordinator/manager
- Employees
- Employee representatives and health and safety committee members.

Your policy needs to be:

- Signed by senior management
- Reviewed annually.

Establishing responsibilities

It is important that you state clearly the levels of authority and the roles of managers and supervisors and the resources needed to achieve your health and safety goals.

Write the responsibilities, along with the necessary authorities, into supervisors' and managers' job descriptions. Doing this:

- Removes any doubt about accountability
- Clearly states your expectations of your employees
- Allows you to determine whether you have covered all health and safety responsibilities
- Provides a way for you to measure your health and safety performance.

Supervisors' and managers' job specifications and performance objectives should include statements of accountability, which aim to:

- Avoid exposing employees, contractors and visitors to unnecessary risk in the workplace
- Maintain safe work systems
- Enforce safe work systems.

On the following page is an example of a health and safety policy.

Health and Safety Policy

The management of _____
is committed to a safe and healthy working environment for everyone using the premises as a place of work or visiting on business.

Management will:

- Set health and safety objectives and performance criteria for all managers and work areas
- Annually review health and safety objectives and managers' performance
- Encourage accurate and timely reporting and recording of all incidents and injuries
- Investigate all reported incidents and injuries to identify all contributing factors and, where appropriate, formulate plans for corrective action
- Actively encourage the early reporting of any pain or discomfort
- Provide treatment and rehabilitation plans that ensure a safe, early and durable return to work
- Identify all existing and new hazards and take all practicable steps to eliminate, isolate or minimise exposure to any significant hazards
- Ensure that all employees are made aware of the hazards in their work areas and are adequately trained so they can carry out their duties in a safe manner
- Encourage employee consultation and participation in all health and safety matters
- Enable employees to elect health and safety representatives
- Ensure that all contractors and subcontractors are actively managing health and safety for themselves and their employees
- Promote a system of continuous improvement, including annual reviews of policies and procedures
- Meet our obligations under the Health and Safety in Employment Act 1992 (as amended by the Amendment Act 2002), the Health and Safety in Employment Regulations 1995, codes of practice and any relevant standards or guidelines.

Every employee is expected to share in the commitment to health and safety.

Every manager, supervisor and foreperson is accountable to the employer for the health and safety of employees working under their direction.

Each employee is expected to help maintain a safe and healthy workplace through:

- Following all safe work procedures, rules and instructions
- Properly using all safety equipment and clothing provided
- Reporting early any pain or discomfort
- Taking an active role in the company's treatment and rehabilitation plan, for their 'early and durable return to work'
- Reporting all incidents, injuries and hazards to the appropriate person.

The Health and Safety Committee includes representatives from senior management and union and elected health and safety representatives. The Committee is responsible for implementing, monitoring, reviewing and planning health and safety policies, systems and practices.

Signed by CEO/General Manager _____

Date _____

CRITICAL ELEMENT 1.

Employer commitment to safety management practices

(AS/NZS 4801:2001 Sections 4.2, 4.4 and 4.6)

Objective

The employer is able to demonstrate an active, consultative commitment to all areas of health and safety management in the workplace.

Details of requirements	Verified by	Achieved yes/no
1. There is a documented health and safety policy.	1. Policy document.	P14
2. The policy is authorised by current CEO or other senior management* representatives.	1. Appropriate signature, position and date.	P14
	2. Process for senior management to review policy document at least every two years.	
3. The policy incorporates management commitment to comply with relevant legislation, regulations, codes of practice and safe operating procedures.	1. Policy document includes statement of commitment to comply with relevant standards.	P14
4. The policy includes specific understanding of management responsibilities for health and safety.	1. Policy document includes management commitment to health and safety.	P13, 14
	2. Specific health and safety co-ordination roles are designated at senior management* level.	
	3. Management positions are reviewed against the performance of designated health and safety responsibilities.	P14
	4. Evidence that individual management performance has been reviewed against health and safety responsibilities.	
5. The policy includes an outline of individual employee responsibilities for health and safety.	1. Policy document states individual responsibilities for health and safety in the workplace.	P14
6. There is commitment to consultation with union* and other nominated employee representatives* regarding participation in health and safety management.	1. Policy document includes statement of support for employee consultation and participation.	P14

* Refer to definitions on pages 138–141

Details of requirements	Verified by	Achieved yes/no
7. There is specific management commitment to accurate reporting and recording of workplace incidents and injuries.	1. Health and safety documents include a specific statement requiring accurate reporting and recording.	P14
	2. Records of this requirement included in performance review of management roles.	
8. There is commitment to continuous improvement in health and safety.	1. Indicative statement in policy document.	P14
	2. Evidence that a system exists for the review of health and safety-related policies by senior management* to ensure their ongoing effectiveness (for example records of reviews or a documented review procedure or checklist).	
	3. Evidence that excellence in health and safety management and innovation by staff is formally recognised (e.g. recognition in staff newsletter, reward for innovative ideas).	
9. There is specific commitment to ensure managers (including senior management*) have an understanding of health and safety management relative to their positions.	1. Evidence of this commitment in policy statement, position descriptions (or similar).	
	2. Evidence that senior management* have been involved in health and safety (e.g. seminars, briefings, conferences, training sessions) within the previous two years.	
10. There is specific commitment by management to support the safe and early return to work of their injured employees.	1. Health and safety documents that include a statement of commitment.	P14
	2. Information provided to management staff on how to support safe and early return to work.	P131
	3. Evidence of management involvement in supporting safe and early return to work (where applicable).	

Review, plan and action

Review

Objective

The objective of this chapter is continuous improvement. It reinforces health and safety as no different from other business activities, and the benefits of planning and reviewing. Reviewing will set you on the pathway to continuous improvement.

A place to start

The best place to start is with a review of your existing systems and procedures, with a focus on 'how well are they working?' rather than whether you have something in place. Your review should focus on how you can improve your systems.

Develop a process to help you to identify health and safety issues

Your review process should be:

- Written down
- Carried out annually or whenever major changes are planned
- Set up to assess the previous year's outcomes and set objectives for the next year.

IN MORE DETAIL

Measuring health and safety performance

When to review performance

Review your health and safety performance regularly, at least annually. You may need more frequent reviews depending on:

- **When you are likely to reach the planned milestones.** Review milestones you have achieved and how long it took to reach them – and the lessons for the future. Are there any barriers to reaching milestones, like budget constraints or pressures on time?
- **How long it takes to change from one state to another.** For example, if your review indicates that employees need training in safe work procedures, it could be some time before the training is provided and employees are upskilled – and during this period you would need to increase staff supervision
- **Whether feedback shows controls are not meeting requirements.** Reports of near misses could show that compliance with a control is taking too long, so people don't do it
- **Whether there is a clear failure of controls.** The most obvious example is when an incident happens.

Who should review performance?

Review your health and safety performance at each level in your organisation, starting at the top. Avoid the trap of assuming that everything is okay until a problem is brought to your attention.

Instead, senior managers need to check regularly that health and safety controls are:

- In place
- Being followed
- Working effectively.

Managers should be responsible for monitoring and reviewing the achievement of the goals in your health and safety plan. They are responsible for ensuring employees reporting to them meet the required standards and review how well they are being met.

How to measure performance

You can gather information on organisations and industries similar to yours through:

- Observing activities and people's behaviour
- Talking with people about their experiences and views
- Reading written reports, records and documents
- Involving your employees in gathering information.

You can create a basic checklist and add other elements to suit your business operations by looking at:

1. Premises – the access/escape areas, housekeeping and working environment
2. Plant and substances – machine guarding, local exhaust ventilation and the use/storage/separation of materials/chemicals
3. Procedures – permits to work, use of personal protective equipment (PPE), procedures followed and emergency plans
4. People – health surveillance, which includes occupational hygiene and medical surveillance, people's behaviour and the appropriate authorised person.

Performance measures

Set the performance standards and specifications of the activities and precautions you want measured, as they will help you to avoid making subjective judgements. Follow these steps.

1. **Identify your organisation's key processes** – your management arrangements, risk control systems and workplace precautions.
2. **Identify the critical measures for each management arrangement and risk control system.**

Ask: What result do you want? When do you want it? How will you know if you have achieved it? What do you expect people to do? When should they do it? What result(s) should their actions produce? How do you know people are doing what they should?

Aim to develop measures that: are accepted by and meaningful to the people involved in the activities being measured and those using the measures; are simple, understandable, repeatable and objective; are able to show trends; are clearly and specifically defined; are cost-effective; are timely: are sensitive; and record positive as well as negative activities.

Your measures should also encourage the right behaviour for your desired results. For example, rewarding low accident rates could merely encourage underreporting. Think about involving staff by rewarding them for identifying hazards and suggesting solutions.

3. **Set goals or targets for each measure.** Get help from the people involved in the activities being measured.
4. **Appoint someone to collect and analyse the measurement information.**
5. **Compare your organisation's actual performance with that of other similar industries or organisations.** Emphasise and celebrate achievements and investigate the reasons for any results that are below standard, including health issues.
6. **Decide on corrections.** The measurement information should tell you what you need to do and where and when it is needed.
7. **Review your measures.** Regularly check to see that your measures are appropriate, useful and cost-effective. However, avoid changing measures too often as this causes confusion.

Plan and action

A strategic plan for change and improvement

The following steps will help you to establish the major processes and milestones you need to implement successfully a change process for health and safety. The steps will help you to focus on the process rather than on tasks; to concentrate on the goals of managing change rather than getting side-tracked by the detail.

When setting the goals for your plan, it is useful to remember the SMART planning tool:

Specific – set objectives (action or events) that have observable outcomes.

Measurable – you need to have the means to track your progress and measure whether you achieve the outcome.

Achievable – your goals should offer you a challenge to meet but not be so much of a challenge that there is little chance you will achieve them.

Realistic – similar to being 'achievable', your goal needs to be something that you can reasonably make real in your business. For example, having all employees trained in first aid is an achievable goal, but achieving this within three months may not be realistic.

Timely – have a timeframe for achieving your goal. Tasks without deadlines do not get done.

When you implement the plan, the process itself will take care of the tasks and ensure that appropriate resources are provided and priorities set.

Step-by-step strategic planning

1. **Build trust.** People will accept change more readily if they trust you and what you are working to achieve. Involve your employees. Gaining trust will help you to overcome a lot of anguish over small details. Trust will develop in the different levels within your organisation as they work together and begin to see success.
2. **Set your baselines.** Before you can determine whether your organisation is improving, you need to know your starting point. Use the Workplace Safety Management Practices self-audit tool to measure the strengths and weaknesses of your workplace health and safety culture.

3. **Train your people.** Train employees, managers, supervisors and your health and safety committee in health and safety. This should include hazard recognition, management, team-building and communication skills.
4. **Set up a steering group** of managers, employees and health and safety staff. The group's purpose is to guide, support and direct the change processes. It is not responsible for safety; everyone is. Make sure it has the authority it needs to get things done.
5. **Develop a vision** and key policies, goals, measures and strategic and operational plans. These will guide your progress and you can use them when making decisions.
6. **Set the example.** Establish a shared vision of health and safety goals and objectives. Senior managers support this by providing resources (e.g. time) and holding managers and supervisors accountable for doing the same. Every manager and supervisor needs to set an example and lead the change.
7. **Set specific health and safety responsibilities** at all levels of your organisation. Everyone must see health (e.g. noise, asbestos) and safety (traumatic events e.g. falls from a height) as their own responsibility. Clearly spell out how you deal with competing pressures and priorities, especially production versus health and safety.
8. **Set accountabilities** for all levels within your workplace. The same rules apply to everyone, and managers and supervisors are accountable for their areas of responsibility.
9. **Establish measurement and feedback systems.** Use positive indicators that encourage positive change, such as the number of hazards reported or corrected, the number of inspections and the number of equipment checks. Focusing on bottom-line measures can encourage underreporting.
10. **Introduce recognition, reward and incentive schemes.** Reward your employees for doing the right things and encourage their participation in health and safety activities. Keep the schemes fresh and avoid their being seen as 'entitlement' schemes.
11. **Launch your programme to all employees.** Encourage employee commitment by getting them involved in holding an event to announce that 'things are going to change'.
12. **Make any needed changes** to your business processes based on feedback from managers, supervisors and employees and their representatives.
13. **Keep measuring your performance,** communicating your progress and celebrating your successes. Keeping everyone updated helps to maintain motivation. Encourage employees' contributions; otherwise they will be reluctant to buy in. Consider simple systems such as bulletin boards and suggestion boxes.
14. **Provide ongoing support.** Ensure continuous improvement by providing reinforcement and ongoing training, seeking feedback, regularly assessing how you are doing and making any needed mid-course corrections.

Sample plan

Process	People	Budget	Date
<p>Employer commitment</p> <p>Ensure that all senior managers attend information sessions on The Health and Safety Improvement Cycle and their role in it.</p>	CEO		
Consider injury prevention and health issues at all senior managers' meetings.	HR Manager		
Policy document updated to incorporate current relevant legislation and specific management commitment to accurate reporting and recording.	Health and Safety Advisor		
Build injury prevention responsibilities into job descriptions.	HR Manager		
<p>Planning</p> <p>Develop specific plans relating to injury prevention issues.</p>	Health and Safety Advisor		
Link injury prevention to other forms of business planning.	All senior managers		
<p>Hazard identification, assessment and control</p> <p>Identify specific injury hazards.</p> <p>Identify health issues (e.g. noise, asbestos).</p>	Occupational hygienist, ergonomist, health and safety representatives, facilitating staff, consultation groups		
Develop and implement action plans for hazards.	Occupational hygienist, ergonomist, health and safety representatives, facilitating staff, consultation groups		
<p>Information, training and supervision</p> <p>Develop induction and ongoing education packages in the Health and Safety Improvement Cycle and Incident Investigation Process and actions required to manage injury factors.</p>	Health and Safety Advisor, HR Manager		
Educate staff in injury prevention issues at least every three months.	HR Manager, supervisors, all staff		
<p>Incident and injury reporting, recording and investigation</p> <p>Develop and implement a near-miss-event reporting system. This should be anonymous and not show the name of the injured person.</p>	Health and Safety Advisor, Operations Manager, supervisors, health and safety representatives		
Implement a system to record and analyse incident and injury data (and report results to managers and staff).	Health and Safety Advisor, HR Manager		
Ensure that incident and injury reporting and investigation are practised.	Operations Manager, all managers, supervisors and staff		

Process	People	Budget	Date
<p>Employee participation</p> <p>In addition to other staff consultation groups, health and safety representatives will be elected in accordance with the Health and Safety in Employment Act 1992.</p>	Health and Safety Advisor, Health and Safety Committee, representatives and staff		
<p>Ensure that injury prevention is part of all weekly staff meetings.</p>	Supervisors and all staff		
<p>Emergency readiness</p> <p>Review and update emergency plans.</p> <p>Have regular practices i.e. fire drills.</p>	Health and Safety Advisor, supervisors		
<p>Contractor management</p> <p>Develop health and safety clause to be written into all contracts.</p> <p>Monitor the contracts.</p>	Legal advisor		
<p>Return to work</p> <p>Set up a team and procedure to support the return to work of injured staff.</p> <p>Keep in regular contact with the injured staff.</p>	Senior management, supervisors, health and safety representatives		

CRITICAL ELEMENT 2.

Planning, review and evaluation

(AS/NZS 4801:2001 Sections 4.3, 4.4 and 4.5)

Objective

The employer is able to demonstrate a focus on continuous improvement through a systematic approach to occupational health and safety that includes setting specific objectives, establishing and supporting systems or programmes to achieve objectives, regular review of progress and evaluation of outcomes.

Details of requirements	Verified by	Achieved yes/no
1. There is a process to ensure that health and safety management for the workplace is reviewed.	1. Process to review health and safety management annually.	P5, P17
	2. Process to review health and safety management that occurs after a critical event and/or if there is a change in work procedures or health and safety policy.	P17
2. Health and safety objectives are set that are appropriate to the size and type of business, relevant to each level within the business and related to identified hazards (where relevant). (NB: Objectives set should be 'SMART' – Specific – Measurable – Achievable – Realistic – Time-bound.)	1. Documented objectives and management plan to achieve objectives.	P19–22
	2. Procedure to review objectives annually.	P17–19
	3. Evidence that health and safety objectives have been reviewed.	
	4. Evidence that senior management* and union and other nominated employee representatives* have been included in annual review and setting of objectives.	
3. There is an established consultative process to review and evaluate the effectiveness of hazard management.	1. Process or planning documents (or similar).	P44–45
	2. Minutes, schedules (or similar) to show there is annual review of the effectiveness of hazard management processes.	

* Refer to definitions on pages 138–141

Details of requirements	Verified by	Achieved yes/no
4. The employer is able to demonstrate knowledge of current health and safety-related information including legislation, regulations, current codes of practice, and other health and safety standards relevant to the particular workplace.	1. Process to identify the health and safety information specific to the employer's business.	P55–60
	2. Process in place to ensure compliance or conformance with relevant requirements.	P56–58
	3. Evidence of regular review to identify and accommodate any changes to requirements.	
5. A procedure to undertake an annual self-assessment to ensure the programme audit standards can be met and maintained. The procedure involves management, union and other nominated employee representatives*.	1. Self-assessment procedure.	
	2. Evidence that a self-assessment has been undertaken within the previous 12 months (may be immediately prior to initial entry audit).	

Hazard management

Hazard identification, assessment, control and monitoring

Objective

You must have an active step-by-step process to help you to identify, assess and control hazards in your workplace.

A place to start

Hazard management is the foundation of any health and safety system. Identifying, assessing and controlling hazards is the key to workplace health and safety. Good hazard management will help you to:

- Develop and manage a safe working environment
- Keep you, staff and any visitors to your workplace safe
- Reduce the number and severity of workplace injuries.

[IN MORE DETAIL](#)

Hazard management responsibilities

The Health and Safety in Employment Act 1992 (HSE Act) sets out the steps to manage the 'significant hazards' identified in your workplace. The core principle is that your workplace should be modified to suit your employees.

There are four steps you need to follow to manage the hazards in your business effectively and continually. The steps are:

1. Identifying hazards – identifying the things that may cause injury or harm to health
2. Assessing the hazards – evaluating whether any are significant (as defined by the HSE Act), and how likely and serious the injuries or harm would be if workers were exposed to the hazards
3. Controlling the hazards – taking all practicable steps to eliminate, isolate or minimise the significant hazards
4. Monitoring hazards and any exposure to a hazard that has been eliminated, isolated or minimised.

Review these steps regularly, especially if you make any changes such as introducing new technology or changing standards.

While Personal Protective Equipment (PPE) may help in minimising hazards, injury and health hazards are more reliably eliminated, isolated or minimised through new design or safer or mechanised processes.

What we mean by...

Hazard –

- (a) an activity, arrangement, circumstance, event, occurrence, phenomenon, process, situation or substance (whether arising or caused within or outside a place of work) that is an actual or potential cause or source of harm; and
- (b) includes:
 - (i) a situation where a person's behaviour may be an actual or potential cause or source of harm to the person or another person; and
 - (ii) without limitation, a situation described in subparagraph (i) resulting from physical or mental fatigue, drugs, alcohol, traumatic shock, or another temporary condition that affects a person's behaviour.

What we mean by...

Significant hazard – a hazard that is an actual or potential cause or source of:

- Serious harm; or
- Harm (that is more than trivial) where the severity of the effects depends, entirely or among other things, on how much or how often a person is exposed to the hazard; or
- Harm that doesn't usually occur, or usually is not easy to detect, until a significant time after a person is exposed to the hazard.

Serious harm

1. Death.
2. Any of the following conditions that amounts to or results in permanent loss of bodily function or temporary severe loss of bodily function: respiratory disease, noise-induced hearing loss, neurological disease, cancer, dermatological disease, communicable disease, musculoskeletal disease, illness caused by exposure to infected material, decompression sickness, poisoning, vision impairment, chemical or hot-metal burn of eye, penetrating wound of eye, bone fracture, laceration, crushing.
3. Amputation of a body part.
4. Burns requiring referral to a specialist registered medical practitioner or specialist outpatient clinic.
5. Loss of consciousness from lack of oxygen.
6. Loss of consciousness or acute illness requiring treatment by a registered medical practitioner, from absorption, inhalation or ingestion of any substance.
7. Any harm that causes the person harmed to be hospitalised for a period of 48 hours or more commencing within seven days of the harm's occurrence. Serious Harm, subject to subsection (4), means death, or harm of a kind or description declared by the Governor-General by Order in Council to be serious for the purposes of this Act; and seriously harmed has a corresponding meaning.

Requirements for involving your employees

As an employer, you are legally responsible for health and safety decisions in your workplace.

However, consulting your employees (such as by establishing health and safety committees and workplace representatives) and obtaining their views and recommendations should help you to reach those decisions.

Encourage employee participation and provide your employees with reasonable opportunities to be involved with your organisation's ongoing health and safety improvements.

Requirements for identifying hazards

You are required to have effective methods for systematically identifying workplace hazards to your employees – whether they are existing, new or potential hazards.

Once you identify them, you have to determine which hazards are significant (as defined by the HSE Act) and require further action.

If a serious harm accident occurs, you must notify WorkSafe New Zealand by phone or email; it will let you know if you can disturb the accident scene. You need to provide written confirmation using the correct form (this also applies if you are self-employed). You must also investigate the accident and provide a copy of your report to WorkSafe New Zealand.

For more information, see www.business.govt.nz/worksafe.

Looking for hazards

Hazards can be physical, biological or chemical. Some arise from work processes such as mechanical hazards, noise or toxic substances, while others result from equipment or machine failures or misuse, control or power system failures, chemical spills and structural failures.

Managing hazards in your workplace is something that should be happening all the time. It's not something to be considered once and then forgotten.

A hazard is something that could cause damage, injury or death and includes:

- An activity, or a task, such as lifting, carrying or repetitive work
- How work is arranged or organised
- Something physical like a wet and slippery floor, or an uneven surface
- Exposure to a chemical or solvent, or another substance that is toxic, flammable or explosive, such as petrol or asbestos
- How a person behaves because of stress or tiredness, or taking shortcuts
- The working environment or conditions, such as cold, heat, fumes, dust, noise or a confined work area
- A process, such as how materials are stored and transported
- Any natural disaster such as an earthquake or flood.

Here are some of the common hazards, methods of harm and injuries that may happen in the workplace.

Hazard		Possible harm
Access and exit point	<ul style="list-style-type: none"> • Poor surface conditions • Falling or moving object • Obstruction or projection 	<ul style="list-style-type: none"> • Bruising • Broken bones • Crushing
Biological	<ul style="list-style-type: none"> • Bacterial • Viral and fungal 	<ul style="list-style-type: none"> • Short-term or permanent • Illness
Chemical	Exposure to: <ul style="list-style-type: none"> • Toxins • Irritants • Sensitisers • Corrosives 	<ul style="list-style-type: none"> • Damage to nervous system • Respiratory diseases, short or permanent illness • Contact dermatitis • Damage to heart, liver, kidneys • Reproductive effects e.g. foetal damage
Electricity	<ul style="list-style-type: none"> • Contact with live wires • Electrical faults causing fires or explosions 	<ul style="list-style-type: none"> • Shock • Burns and heart failure • Electrocution
Environment	Exposure to harmful levels of: <ul style="list-style-type: none"> • Noise • Vibration • Humidity and temperature • Pressure or vacuum • Working in a confined space 	<ul style="list-style-type: none"> • Hearing loss • Damage to muscles and eyes • Dehydration • Frostbite or sunburn • Death
Ergonomic factors	<ul style="list-style-type: none"> • Inappropriate posture e.g. twisting or over-extending • Repetitive movement • Inappropriate force 	<ul style="list-style-type: none"> • Musculoskeletal discomfort, pain and injury • Laceration
Exposure to radiation	<ul style="list-style-type: none"> • Ionising • Non-ionising 	<ul style="list-style-type: none"> • Illness (e.g. cancer) • Burns
Fire and explosion	<ul style="list-style-type: none"> • Chemicals • Liquid and gas • Vapour and particles 	<ul style="list-style-type: none"> • Burns to body parts • Lung disease and respiratory conditions • Eye irritation and blindness
Mechanical	<ul style="list-style-type: none"> • Accessible moving/rotating parts • Pressurised fluid • Hot or cold metal 	<ul style="list-style-type: none"> • Laceration • Amputation • Crushing
Moving vehicles	<ul style="list-style-type: none"> • Being hit by a vehicle – impact • Being run over by a vehicle • Carbon monoxide fumes 	<ul style="list-style-type: none"> • Crushing and inhalation • Bruising and broken bones • Death
Particulates and dust	<ul style="list-style-type: none"> • The effect of dust or fibres on skin or in eyes • Inhalation of dust or fibres 	<ul style="list-style-type: none"> • Lung cancer • Respiratory diseases • Abrasion of skin or eye • Eye irritation or blindness

Examples of 'causes of harm'

Machinery and (mainly) fixed plant	
Cutting, slicing, sawing machinery	Electrical installation
Crushing, pressing, rolling machinery	Radiation-based equipment
Heating, cooking, baking equipment	Filling and bottling/packaging plant
Cooling, refrigeration plant and equipment	Other plant and equipment
Conveyors and lifting plant	
Mobile plant and transport	
Self-propelled plant	Rail transport
Semi-portable plant	Air transport
Other mobile plant	Water transport
Road transport	Other transport
Powered equipment, tools and appliances	
Workshop and worksite tools and equipment	Garden and outdoor powered equipment
Kitchen and domestic equipment	Pressure-based equipment not elsewhere classified
Office and electronic equipment	Other powered equipment, tools and appliances
Non-powered hand tools, appliances and equipment	
Hand tools, non-powered edge	Furniture and fittings
Other hand tools	Other utensils
Fastening, packing and packaging equipment	Other non-powered equipment
Chemicals and chemical products	
Nominated chemicals	Chemical products
Other basic chemicals	
Materials and substances	
Non-metallic minerals and substances	Other substances
Other materials and objects	
Environment agencies	
Outdoor environment	Underground environment
Indoor environment	
Animal, human and biological agencies	
Live four-legged animals	Human agencies
Other live animals	Biological agencies
Non-living animals	
Other and unspecified agencies	
Non-physical agencies	Other and unspecified agencies

Examples of 'mechanisms of harm'

Falls, slips and trips of a person

Falls from a height	Stepping, kneeling or sitting on objects
Falls from the same level	

Hitting objects with a part of the body

Hitting stationary objects	Rubbing and chafing
Hitting moving objects	

Being hit by moving objects

Being hit by falling objects	Being trapped by moving machinery
Being bitten by an animal	Being trapped between stationary and moving objects
Being hit by an animal	Exposure to mechanical vibration
Being hit by a person	Being hit by moving objects

Noise and pressure

Exposure to single, sudden sound	Other variations in sound pressure
Long-term exposure to sounds	Exposure to continuous noise above 85dB

Body stressing

Muscular stress while lifting, carrying or putting down objects	Muscular stress with no objects being handled
Muscular stress while handling objects other than lifting, carrying or putting down objects	Repetitive movement, low muscle loading

Heat, radiation and electricity

Contact with hot objects	Exposure to non-ionising radiation
Contact with cold objects	Exposure to ionising radiation
Exposure to environmental heat	Contact with electricity
Exposure to environmental cold	

Chemicals and other substances

Single contact with chemical or substance	Insect and spider bites and stings
Long-term contact with chemicals or substances	Other unspecified contact with chemical or substance

Biological factors

Contact with or exposure to biological factors	
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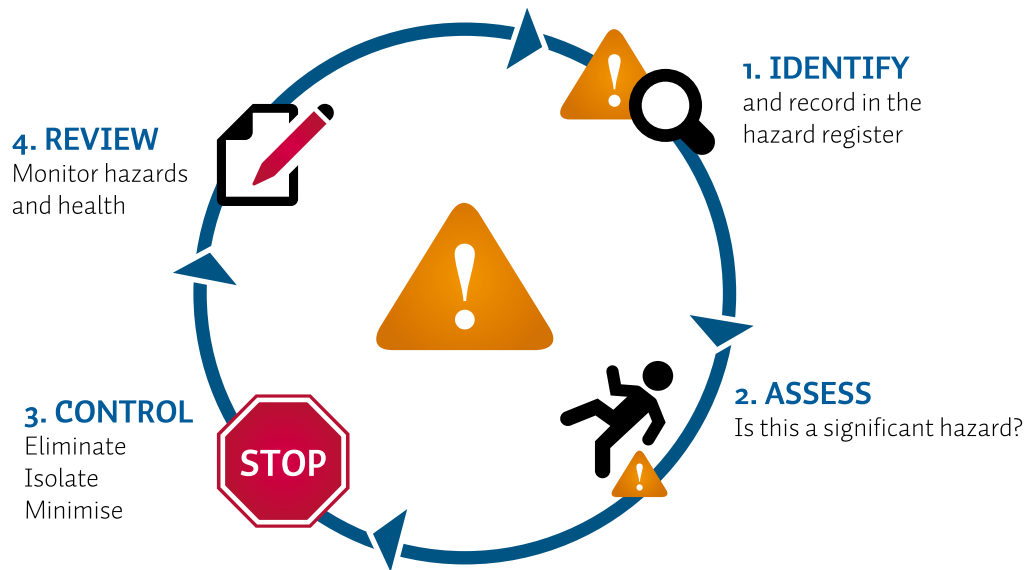
Mental stress

Exposure to mental stress factors	
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Other and unspecified mechanisms of injury

Slide or cave-in	Other and multiple mechanisms of injury
Vehicle	Unspecified mechanisms of injury

The hazard management process



Step 1 – Identify

To identify all potential hazards, you need to look beyond obvious physical ones and look for hazards that are part of the way work is carried out in your workplace.

Consider:

- How different tasks are performed
- The layout of the worksite or workplace
- How work is organised and the physical conditions
- Your approach to health and safety practices and how you communicate their importance with your staff, visitors, contractors and subcontractors.

Involve other people (i.e. staff and contractors) to help identify hazards. People who carry out specific jobs generally have an understanding of the risks involved and how they could be controlled.

There are a number of ways to identify hazards, including:

- Workplace and people observations
- Accident and near miss reports and investigations
- Analysing individual tasks
- Using staff meetings to ask staff about hazards they have noticed
- Industry injury/disease information and literature sources.

Identifying hazards

You can use a range of methods to identify hazards in your workplace.

Workplace inspections – these are inspections of the work area, looking at your equipment and systems to assess where and if someone could get injured. Here are some tips to help you with workplace inspections:

- Prepare an overall site plan of the workplace
- Develop an inspection plan for each area
- Get permission from the person in control of the workplace
- Let people know what you are doing and involve them
- Wear the PPE required in each area
- Take action and fix any simple problems you find
- Record all hazards – follow up and manage any hazards you have identified.

Checklists – you can develop checklists for your processes and systems to help you to evaluate equipment, materials and procedures. You can do this for the life cycle of the equipment or the processes being inspected. Checklists should be developed by people with experience in the processes or with the equipment. You should audit and update the checklists regularly.

An example checklist is shown on the following pages.

Inspection Check Sheet

Location: _____ Date: _____

Hazard	OK	Further action	N/A
Ventilation			
Sufficient fresh air?			
Mechanical extraction provided?			
• And operating correctly?			
• Temperature/humidity/air movement comfortable?			
• Equipment properly stored when not in use?			
• Leads not a tripping hazard?			
Lifting equipment			
Inspected regularly?			
Properly maintained?			
Properly stored?			
Inspection records kept?			
Lighting			
All light bulbs working?			
No direct or reflected glare?			
Adequate level?			
Amenities			
Washroom clean?			
Toilets clean?			
Soap and clean towels provided?			
Locker room tidy?			
Shower room clean?			
Meal room tidy?			
First aid facilities			
Suitable stocks?			
Suitably trained personnel available?			
Suitably located?			
Accident reporting			
Are all accidents recorded in the register?			
Are accidents investigated?			
Is WorkSafe New Zealand notified?			
Training and supervision			
Is a suitable staff training programme in place?			
Are employees aware of hazards and dangers?			
Have they been instructed in correct and safe work methods e.g. lifting?			
Do supervisors ensure that safe work methods are used?			

Hazard	OK	Further action	N/A
Protective clothing/equipment			
Hazard areas identified?			
Suitable clothing/equipment available?			
Clothing/Equipment used?			
Clothing/Equipment maintained?			
Clothing/Equipment properly stored?			
Noise – identify hazard areas			
Can exposure be reduced?			
Hearing protection provided?			
Hearing protection worn?			
Machinery			
Guards in place?			
Guards prevent access to danger?			
Interlock systems working?			
Chemicals and fuels			
Stored safely?			
Clearly labelled?			
Properly handled?			
Protective clothing/equipment used?			
Stacking and storage			
Adequate bins and racks?			
Materials stored in correct place?			
Stacks stable?			
Area free of rubbish?			
No-smoking rules enforced?			
Floors			
Even surface?			
Dropped objects picked up?			
Sawdust, shavings etc swept up?			
Adequate free space around machines?			
Access-ways			
Unobstructed?			
Ample width?			
Clearly marked?			
Steps, stairs, landings			
Handrails in good repair?			
Landings kept clear of obstructions?			
Properly maintained?			
Checked for broken rungs or other defects?			
Stored in proper place?			

Continued ...

Hazard	OK	Further action	N/A
Portable ladders			
Checked for broken rungs or other defects?			
Stored in proper place?			
Fire			
Extinguishers in place and serviced?			
Exit door(s) known and clear of obstruction?			
Regular evacuation drills?			
Electricity			
Equipment in good repair?			
Action list			
Actions required	By whom	By when	Done
General comments:			
Repairs needed:			
Replacements needed:			

Task analysis – identifies the hazard involved in each task, and could relate to tasks such as:

- Operating machinery
- Production-line activities
- Tree planting
- Line maintenance work
- Erecting scaffolding
- Transferring a patient from a bed to a chair.

Here are some tips to help you with task analysis:

- Remember it's about reviewing the task, not the person, and involves looking at what people are doing as well as at the task itself
- Explain the purpose of task analysis
- Discuss the process of task analysis with the people you will be observing before you start
- Encourage people to suggest ways to make the task safer
- Observe several cycles of the job and several different people performing the task
- Ask people why they do things the way they do
- Ask people what happens when product jams or there are other production problems
- Point out any unsafe practices and ask people for their feedback
- Look for opportunities to eliminate hazards or unnecessary steps
- Look for a good fit between a person's skills/abilities and the task
- Look for ways to improve other aspects, such as quality and productivity, as these things can often help justify the costs of making improvements.

Safety observation – safety observation works best when everyone is involved, not just the employer.

When observing the people around you, look for:

- What people are doing
- Any practices that could put people at risk.

Experience – where you use the current and past experiences of key employees to help you to identify hazards, particularly in areas not covered by other identification methods.

Accident reporting and investigation – whenever there is an accident, an incident of harm or a near miss you must investigate to determine the cause and whether it is a **significant hazard**.

Recording your investigations into such incidents efficiently and thoroughly can provide a valuable resource for identifying and assessing hazards.

Data analysis – after collecting data – monthly, quarterly, annually – displaying it graphically can help to identify trends and hazards you missed previously. Suited to larger businesses with enough data to make the analysis meaningful.

Brainstorming – meetings of employees, supervisors and managers to focus on all aspects of the design and operation of equipment, processes and systems to consider possible incidents outside normal limits where hazards may arise.

Identifying hazards when you make changes

New hazards may arise when you:

- Change tasks or processes
- Install new, or make changes to existing, equipment.

You need to work through the hazard identification process whenever you make changes or introduce new equipment and processes.

When you make changes to, or introduce new, equipment and processes

Work through the hazard identification process to identify any new hazards. Things to consider are:

- What safety information do you have about the item or process?
- What hazards are there?
- What health and safety risks may arise?
- For equipment:
 - How will you ensure safety during installation, transport, handling and storage?
 - What changes are needed to processes and training?
- For processes:
 - What changes are needed to training or supervision requirements?

Step 2 – Assess

It is a requirement of the HSE Act that you identify clearly those hazards that may cause **serious harm**. These hazards are called **significant hazards** and all practicable steps should be taken to control them.

It is important that you act on those hazards that might result in serious harm before those that may cause only minor injuries.

To be able to do this, you need to have a clear understanding of how the HSE Act defines:

- Harm
- Serious harm
- Harm that depends on the extent or frequency of a person's exposure to it
- Harm that is not detectable until a significant time after exposure to the hazard
- Significant hazard.

Step 3 – Control

The next step is to decide on the appropriate way to control the significant hazards identified. They must be controlled using the **hierarchy of controls**. This means taking action to **eliminate, isolate or minimise** the risk of harm occurring.

The HSE Act places a duty on employers, employees, self-employed people, people in control of workplaces, and principals (people who engage contractors to carry out work for them) to take all **practicable steps** to ensure their own safety and that of others.

‘All practicable steps’ means all steps to achieve the result that it is reasonably practicable to take, so it means thinking about the following things when deciding how significant a hazard is, and how you will control it:

- How serious the harm could be if you didn’t manage the hazard
- What is known about the harm and the chances of getting harmed
- What is known about different options for managing the hazards
- How easy to implement and how effective each option is
- The cost of each option.

When controlling a significant hazard the HSE Act states that you must take ‘all practicable steps’.

‘Reasonably practicable’ means that a step is ‘practicable’ if it is possible to do, or capable of being done. ‘Reasonably’ means you only have to do what a reasonable and prudent person would do in the same situation.

Hierarchy of controls

This means taking action to **eliminate, isolate** or **minimise** the risk of harm occurring.

Eliminate the hazard

When controlling a hazard the first thing is to consider whether it is possible to eliminate the hazard. This means to remove the hazard from the workplace.

Isolate the hazard

If the hazard cannot be eliminated, steps should be taken to isolate it. This means isolating or separating the hazard from people who may be harmed by it.

Minimise the hazard

If the hazard cannot be eliminated or isolated, all steps should be taken to minimise the hazard.

This means taking actions to limit the exposure of people to the hazard.

Elimination and isolation are the most effective means of controlling hazards; minimisation should always be the last choice of control to be considered.

What are management systems?

You can make sure that hazard controls are effective by:

- Involving employees in developing health and safety procedures
- Establishing an information system that ensures employees are informed about and understand the risks of hazards with which they work
- Establishing an accident reporting and investigation system
- Assigning responsibility to managers and supervisors for ensuring that hazard controls are in place and working
- Setting up an audit system for checking that controls for specific hazards are in place and working
- Providing adequate training programmes and supervision for all employees
- Establishing emergency procedures – perhaps in partnership with local emergency services – to limit the consequences of an emergency.

Implementing hazard management control measures

Choose staff responsible for ensuring that all who are exposed to hazards know about them and how to use the correct procedures when exposed to them.

As there may be a range of control measures for any particular hazard, decide on the degree of control needed, taking into account:

- The severity of potential consequences
- How often people are exposed to the hazard
- The likelihood of injury, illness or damage happening
- The cost.

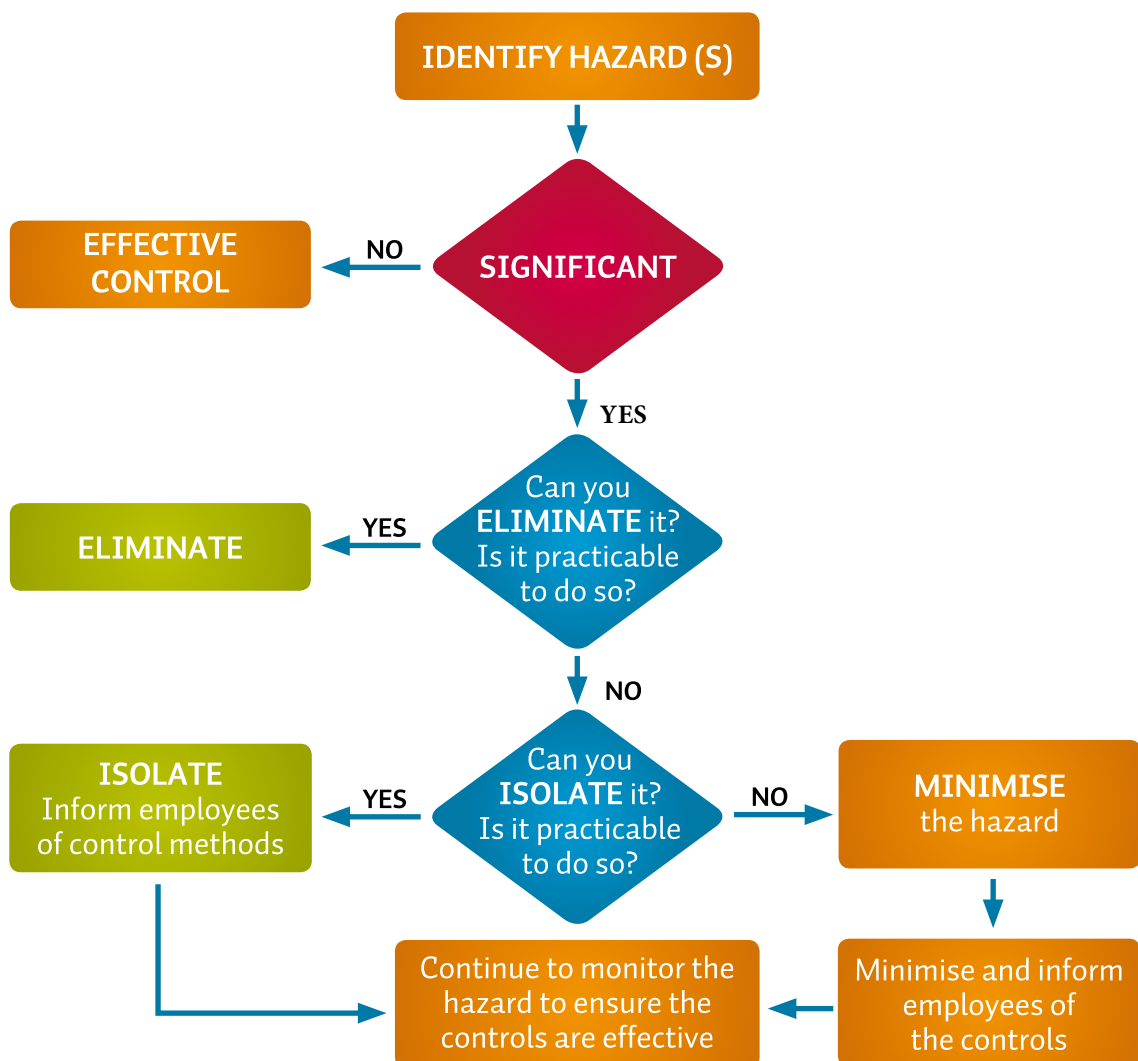
Weigh the estimated costs of the corrective measures against how much they will reduce the risk, and make sure that your decision meets the requirement to take **all practicable steps**.

Before you change any processes, practices or activities, have a system for ensuring that any potential hazards arising from the changes are identified, assessed and (if needed) controlled.

A hazard control process

Under the HSE Act your main aim is to eliminate significant hazards. If this is not practicable, you need to control them through isolation or minimisation.

The following steps take you through the decisions needed for each significant hazard you identify.



	Yes	No
Can you eliminate the hazard?	List the steps to achieve this.	Test your reasons for not eliminating the hazard against the requirement for you to take all practicable steps. If the answer is still no, can it be isolated?
Can the hazard be isolated from staff?	What steps are needed?	Test your reasons for not isolating the hazard against the requirement for you to take all practicable steps.
Minimise the hazard	<p>What will you do to minimise the likelihood of harm from the hazard?</p> <p>What equipment and clothing are needed to protect your staff from harm?</p> <p>How will you monitor your staff's exposure to the hazard and their health when they are exposed to the hazard?</p>	Test your reasons for not minimising the hazard against the requirement for you to take all practicable steps.

Hazards that are not significant

While you are not required to follow the same decision process for hazards you assess as 'not significant', you are still required to control them. The above decision process may be helpful in controlling these lesser hazards.

Options for eliminating hazards

Elimination is the best employee protection you can provide – and designing or redesigning facilities, equipment or processes offers the greatest opportunity to do this. You could:

- Redesign, change or substitute equipment to remove the source of excessive temperature, noise or pressure
- Redesign a process so that you use less toxic chemicals
- Redesign a workstation to relieve physical stress and remove ergonomic hazards
- Redesign general ventilation to include enough fresh outdoor air to prevent 'sick building syndrome' and generally provide a safe, healthy atmosphere.

Options for isolating hazards

Isolation by enclosing hazards

When you cannot remove a hazard or replace it with a less hazardous alternative (sometimes called substitution), the next best control option is enclosure.

Enclosing a hazard usually means employees are not exposed to it during normal operations, although they could be during maintenance or if the enclosure system breaks down. For these situations, consider additional controls such as specific work procedures or PPE.

Examples of enclosure include:

- Completely enclosing the moving parts of machinery
- Completely containing toxic liquids or gases from a process

- Using glove-box operations to enclose work with dangerous micro-organisms or toxic substances
- Completely containing noise-, heat- and pressure-producing processes with materials especially designed for the purpose.

Isolation using barriers or local ventilation

If you cannot remove, replace or enclose a potential hazard, your next best approach is to install a barrier to exposure. In the case of air contaminants, you could install local exhaust ventilation systems to remove the contaminants.

This control involves potential exposure for your employees even in normal operations – so you must apply additional controls to protect them, such as PPE and/or safe work practices designed specifically for the site conditions.

Barrier examples include:

- Ventilation hoods (fume cupboards) in laboratories
- Machine guarding, including electronic barriers (unless they are virtually impossible to bypass)
- Isolating processes in areas away from workers, except for maintenance work
- Baffles used as noise-absorbing barriers
- Heat shields.

Options for minimising hazards

Minimisation using PPE

If you cannot eliminate exposure to hazards from your normal operations or maintenance work, you can use PPE as a control.

Minimisation using administrative controls

Administrative controls use procedures or instructions to minimise exposure to risks. They could involve limiting the exposure time to a particular hazard such as noise or radiation.

You should only use these two options as your main risk-control methods when you have exhausted the higher-priority options. They require management, enforcement and commitment, together with behaviour change, and are used alongside other controls. Wherever possible, replace them with better controls to ensure that you meet the HSE Act requirement to take all practicable steps.

Using maintenance as a control

If plant or equipment failure in your workplace has the potential to cause injury or illness, you need an effective system for properly maintaining the plant and equipment.

This should include:

- Choosing employees to be responsible for inspection and maintenance
- Keeping an up-to-date plant maintenance register that schedules maintenance
- Determining the appropriate maintenance type and frequency. Consider manufacturers' instructions and factors unique to your workplace that will affect the need for maintenance
- Developing a procedure (including safety aspects) for carrying out the maintenance, reporting faults and damage, and addressing reported deficiencies
- Instructing, training and supervising people so they carry out maintenance safely

- Using a safety confirmation procedure to check that equipment is safe to use after maintenance or servicing.

Develop options and ideas for controlling hazards

Before you decide on the most appropriate control option, make sure you check all the resources available. Consider using:

- Trade literature and associations
- Codes of practice and regulations
- Guidelines and information booklets issued by WorkSafe New Zealand
- Manufacturers' literature
- Specialists and consultants who are qualified
- Websites – ensure the validity of these.

Decide on the control to use

Base your final choice of control option on factors such as the:

- Nature and severity of harm the hazard could cause
- Risk of injury or illness from exposure to the hazard
- Techniques currently available to control the hazard
- Availability and cost of each of the possible control options. The cheapest may not be the correct option.

Implement the control measures

Make sure you support any new control measures with work procedures. These may involve clearly defining the responsibilities of management, supervisors and employees.

Inform all the people who need to know about the control measures. Explain the reasons for the changes and have them supervised to make sure they are implemented and used correctly.

Maintenance is an important part of the process. Make sure that work procedures detail the maintenance requirements and the checking of that maintenance.

Personal protective equipment (PPE)

PPE is used to reduce or minimise exposure to and contact with agents that cause physical, chemical or biological injuries.

PPE does not eliminate hazards – it reduces the risk of injuries. For example, hearing protection reduces the likelihood of hearing damage if the earplugs or earmuffs are appropriate for the kind of noise exposure and they are used properly. However, hearing protection does not eliminate the noise.

Only use PPE:

- As a short-term measure before you put in place more effective controls
- Where you have been unable to eliminate or isolate a hazard
- During activities such as maintenance, clean-up and repair
- During emergency situations.

Legal requirements

The HSE Act contains requirements for the use of PPE:

- Employers have a duty to provide protective clothing and equipment. The Act now states that the employer is to “provide” PPE rather than to “ensure that [PPE] is provided”
- It is the employer’s responsibility to ensure that the clothing or equipment is worn
- The employee has a responsibility to wear it.

You must pay for any required PPE. Note that you cannot pay an allowance or extra remuneration instead of providing it, or require employees to provide their own equipment or clothing as a precondition or condition of employment.

However, an employee can genuinely and voluntarily choose to provide their own protective clothing for reasons of comfort and convenience, as long as you are satisfied that the protective clothing is suitable. An employee can also choose to stop providing their own protective clothing; they must then give you reasonable notice that you need to provide the clothing for them. This applies to clothing, not equipment.

Sample PPE programme checklist

If you decide that using PPE is your only option, the steps of this example PPE programme checklist may help you.

Designing your PPE programme

- Involve all parties – managers, supervisors, staff and their representatives.
- Seek expert advice.
- Appoint a programme coordinator.
- Gradually introduce the PPE programme unless a hazard demands prompt attention.
- Evaluate the programme regularly.

Promotional strategy

- Communicate widely about your commitment to the programme.
- Develop a clear, concise company policy.
- Ensure that PPE is well covered in your employee education programme.

Workplace survey

- Review work practices, job procedures, equipment and plant layout.
- Use job hazard analysis techniques to incorporate accepted health and safety principles and practices into specific operations.

Selection

- Match the PPE to the hazards.
- Seek advice on selection.
- Get employees to trial PPE options in your workplace.
- Consider the physical comfort of PPE.
- Determine and weigh up the costs of using various PPE options.
- Make sure that PPE is not used for greater hazards than intended.

Fitting and wearing

- Individually fit employees with PPE.
- Monitor use to make sure that PPE is worn properly.

Maintenance

- Ensure that employees know how to maintain and inspect their PPE regularly.

Training

- Make sure that all users – regular and occasional, supervisors, selectors, buyers and suppliers – are trained in the use of the PPE and how it is used to protect them.

Support

- Have ongoing education programmes in place.

Auditing the programme

- Review your PPE programme at least once a year.
- Record and compare production and safety performance records.

Step 4 – Review

Hazards that are controlled by isolation or minimisation must be monitored closely. This should be done as part of your normal daily working practices and through a more detailed yearly review.

What to review and monitor?

Note down some of the hazards you control by isolation or minimisation and how often you review them.

Hazard	Control	How often do you review it?
Example: Noise	Wear PPE to reduce the high levels of noise exposure	Annually

Exposure to hazards

If you cannot eliminate or isolate a significant hazard, so have resorted to minimising it, you are required to monitor your employees' exposure to the hazard. This must be done on an individual basis, and you must also monitor the hazard.

Employees' health

In some industries employers are expected to monitor the health of all employees at risk to identify early any health effects and provide the needed medical care or occupational hygiene advice.

This is also a way to check the effectiveness of any measures you have used to reduce exposure to hazards. For example, health problems suddenly appearing among employees in a work area may indicate a breakdown in safety precautions, procedures or supervision.

Take all practicable steps to gain your employees' consent to this monitoring. Under the HSE Act **you must seek their approval** and take responsibility for informing and encouraging them about health monitoring. However, your employees must consent voluntarily, without any pressure from you.

Note that the HSE Act requires that employees be given the results of any monitoring of their own health. They are also entitled to receive the results of general monitoring of workplace conditions if they ask for them.

Effectiveness of controls

The final hazard management step is to monitor and review the effectiveness of your chosen controls.

Set and record the dates on which you intend to carry out your review, then in your review:

- Ask questions to determine whether your chosen control measures have been implemented as planned:
 - Are chosen control measures in place?
 - Are they being used?
 - Are they being used correctly?
- Ask questions to determine whether the chosen control measures are working:
 - Have the changes made to control the exposure to the hazard had the intended effect?
 - Has exposure to the assessed risks been eliminated or adequately reduced?
- Find out if any new problems have arisen:
 - Have the control measures resulted in any new problems?
 - Have the control measures led to any existing problems getting worse?

Benefits of documenting hazards

The benefits for you and your business of keeping a detailed list of your hazards are that:

- It provides a key reference point for the steps you have taken to manage health and safety on your worksite
- A written document allows everyone to have access to the information
- It can be used as a checklist when you review your existing hazards and their controls
- It provides information that you can use for training new staff, and informing visitors about hazards in your workplace.

Having documented hazards can be used as evidence of the steps you have taken to manage hazards in the event of an accident or near miss at your workplace.

Record-keeping

Keeping adequate records of your hazard management process will help you to demonstrate that you have been working to ensure the safety of your employees and visitors to your workplace.

You should ensure that all of the information gathered about the hazards in your business is recorded in some way. Many businesses list their hazards in a hazard register

Your records must show:

- That you have identified hazards
- That you have assessed the risks associated with those hazards
- How you decided on control measures to manage exposure to the risks
- How and when you implemented the control measures

- Evidence that you have been monitoring and reviewing the controls' effectiveness
- Any checklist you used in the process.

Many people find a hazard record or register a useful way to keep this information.

An example of a hazard record is shown on the following page.

Particularly hazardous work

The Health and Safety in Employment Regulations 1995 require employers as well as people who control places of work to provide at least **24 hours' notice** to WorkSafe New Zealand of particularly hazardous work. Notifications of hazardous work assist WorkSafe New Zealand's workplace health and safety services to plan workplace visits to promote the prevention of harm to all persons at, or in the vicinity of, a place of work. For more information, see www.business.govt.nz/worksafe

Hazard notices

A hazard notice informs you that a trained health and safety representative believes there is an uncontrolled hazard in your workplace.

Before a health and safety representative can issue a hazard notice, they must have tried to discuss the hazard with you. If you refuse to discuss the matter, or if you and the representative cannot agree on how to resolve the problem, the representative can issue the notice.

Throughout the process, even if a hazard notice is issued, you and the representative must work together in good faith to try to resolve the problem. This may mean seeking information and advice, either from someone else at work or from an expert.

There are no penalties or fines attached to a hazard notice. However, if a health and safety inspector visits the workplace and notices the same hazard, they may treat the notice as prior warning for issuing an infringement notice. If an accident happens as a result of the hazard, the hazard notice can be used as evidence in any possible prosecution.

NOTIFICATION OF PARTICULAR HAZARDOUS WORK

Health and Safety in Employment Regulations 1995



Please mail or fax this form to: The Registrar, WorkSafe NZ Response Team, PO Box 105146, Auckland, email healthsafety.notification@worksafe.govt.nz, fax: 09 984 4115. Regulations 2 and 26 of the Health and Safety in Employment Regulations 1995 define notifiable work and set out who is responsible for making the notification. They are also quoted on the back of this form for your convenience. *(If faxing this form, please return only the front page.)*

Notification is hereby given under the Health and Safety in Employment Regulations 1995 in respect of the following work:

Nature of work: *(tick appropriate box)*

<input type="radio"/> Scaffolding (all kinds)	<input type="radio"/> Felling trees for logging
<input type="radio"/> Buildings and structures over 5 metres	<input type="radio"/> Tree felling for commercial firewood
<input type="radio"/> Use of a lifting appliance	<input type="radio"/> Tree felling in land clearance
<input type="radio"/> Trench, shaft, pit, etc	<input type="radio"/> Tree felling in maintenance of horticulture shelterbelts
<input type="radio"/> Drive or heading	<input type="radio"/> Tree felling in maintenance of overhead power lines
<input type="radio"/> Excavated face over 5 metres	<input type="radio"/> Tree felling in arboriculture
<input type="radio"/> Use of explosives	<input type="radio"/> Tree felling in silviculture
<input type="radio"/> Work in, or breathing, compressed air or air substitute	<input type="radio"/> Tree felling for willow layering and other work in catchment areas
<input type="radio"/> Restricted work involving asbestos	<input type="radio"/> Tree felling involving wind throw
<input type="radio"/> Demolition	<input type="radio"/> Other:

Address of worksite:	Contractor/Self-employed:
	Address:
Main access road:	Contact:
Location:	Phone: Fax:
Employer:	
Address:	Certificate holder: <i>(Please name certificate holder when notifying scaffolding, diving, asbestos or use of explosives.)</i>
Contact:	Number:
Phone: Fax:	Phone: Fax:

Brief description of work:	
Due date of commencement: DD / MM / YEAR	Estimated time to complete:
Date: DD / MM / YEAR	Signed: <i>(for employer)</i>

WORKSAFE NEW ZEALAND

Email: healthsafety.notification@worksafe.govt.nz

Website: www.worksafe.govt.nz Fax: 09 984 4115 Phone: 0800 030 040

New Zealand Government

Regulation 2 and 26 of the Health and Safety in Employment Regulations 1995

2. Interpretation-

“Notifiable work” means—

- a. Any restricted work, as that term is defined in regulation 2(1) of the [Health and Safety in Employment (Asbestos) Regulations 1998]:
- b. Any logging operation or tree-felling operation, being an operation that is undertaken for commercial purposes:
- c. Any construction work of one or more of the following kinds:
 - i. Work in which a risk arises that any person may fall 5 metres or more, other than—
 - A. Work in connection with a residential building up to and including 2 full storeys:
 - B. Work on overhead telecommunications lines and overhead electric power lines:
 - C. Work carried out from a ladder only:
 - D. Maintenance and repair work of a minor or routine nature:
 - ii. The erection or dismantling of scaffolding from which any person may fall 5 metres or more:
 - iii. Work using a lifting appliance where the appliance has to lift a mass of 500 kilograms or more a vertical distance of 5 metres or more, other than work using an excavator, a fork-lift, or a self-propelled mobile crane:
 - iv. Work in any pit, shaft, trench, or other excavation in which any person is required to work in a space more than 1.5 metres deep and having a depth greater than the horizontal width at the top:
 - v. Work in any drive, excavation, or heading in which any person is required to work with a ground cover overhead:
 - vi. Work in any excavation in which any face has a vertical height of more than 5 metres and an average slope steeper than a ratio of 1 horizontal to 2 vertical:
 - vii. Work in which any explosive is used or in which any explosive is kept on the site for the purpose of being used:
 - viii. Work in which any person breathes air that is or has been compressed or a respiratory medium other than air:

26. Notification-

1. In this regulation, the term “employer” includes a person who controls a place of work.
2. Subject to subclause (4) of this regulation, every employer who intends to commence any notifiable work or any work that will at any time include any notifiable work shall take all practicable steps to lodge notice of that intention in accordance with this regulation.
3. A notice required to be lodged under subclause (2) of this regulation shall—
 - a. Be lodged at an office that deals with occupational safety and health matters, being the nearest such office of the Department to the place where the work is to be carried out; and
 - b. Be in writing; and
 - c. Be given at least 24 hours before the time at which the employer intends to commence the work; and
 - d. Contain the following particulars—
 - i. The nature and location of the work; and
 - ii. The name, address, and contact details of the employer; and
 - iii. The intended date of commencement of the work; and
 - iv. The estimated duration of the work.
4. It shall not be necessary for any employer to comply with subclause (2) of this regulation before commencing any construction work or tree felling operation necessary to deal with an emergency arising from—
 - a. Damage caused by any earthquake, explosion, fire, flood, lightning, rain, slip, storm, or washout; or
 - b. The blockage or breakdown of any drain or sewer; or
 - c. The blockage or breakdown of any distribution system or network for electricity, gas, telecommunications, or water.

Hazard notice

Given under section 46A of the Health and Safety in Employment Act 1992

To:

[name of the employer or representative of the employer]

I believe that there is a hazard in our place of work at:

[physical address or describe location of place of work]

This hazard is:

[describe hazard]

I suggest the steps that should be taken to deal with this hazard are:

[state details - it is optional whether to provide this information]

I confirm that: *[all these statements must apply before a hazard notice may be issued]*

- I believe on reasonable grounds that there is a hazard in our place of work.
- I have brought the hazard to your attention.
- I have discussed or attempted to discuss with you the steps for dealing with the hazard.

AND *[one of the following statements must apply - delete statements that do not apply]*

You refuse to discuss the hazard

or

You refuse to take steps to deal with the hazard

or

You and I do not agree on the steps that must be taken to deal with the hazard

or

You and I do not agree on the time within which the steps must be taken to deal with the hazard

or

I believe on reasonable grounds that you have failed to meet the requirements of section 6 of the Health and Safety in Employment Act 1992 in relation to the hazard within a time agreed during the discussion with me.

Signed

Name

Date

Trained health and safety representative

Notes for health and safety representative

- 1 You may issue a hazard notice only if you are a trained health and safety representative under the Health and Safety in Employment Act 1992. To be a trained health and safety representative you must have:
 - achieved a level of competence in health and safety practice specified by the Minister by notice in the *Gazette*; or
 - completed an appropriate course of training that has been approved under section 19G of the Health and Safety in Employment Act 1992.
- 2 You may (but do not have to) notify a health and safety inspector that you have issued this notice. If you do, you should ensure you provide your name and contact details to the inspector.

Notes for employer

- 3 This hazard notice sets out a description of a hazard that a trained health and safety representative believes exists in your place of work.
- 4 There is no penalty attached to this notice, however, it may serve as a prior warning for the purposes of an infringement notice issued by an inspector under section 56B of the Health and Safety in Employment Act 1992.

Employees' right to refuse work

While employees have specific responsibilities, the HSE Act gives them the right to refuse work that they believe is likely to cause them serious harm.

What the employee must do

The employee must let you know as soon as possible that they refuse to work. They or their representative should try to discuss and resolve this issue with you.

The employee can continue to refuse to do that work if, after the discussion, the problem is still not resolved and the employee still reasonably believes the work is likely to cause them serious harm.

Determining whether the refusal is reasonable

There are reasonable grounds for refusal if, for example, a health and safety representative believes and advises that the work is likely to cause serious harm.

You can seek advice from:

- Health and safety representatives
- Experts within your workplace, such as health and safety managers, engineers and scientists
- Experts from outside your workplace, such as advisors who are part of a union or employer or sector organisation
- Health and safety inspectors.

If you and your employee still disagree, you should work with them to identify the cause of the problem and try to resolve it together. However, if this is not successful, either party can:

- Contact the WorkSafe New Zealand Workinfo contact centre (0800 20 90 20), which can provide more information and advice and refer them either to the nearest branch for more specialised help or to mediation
- Seek mediation from the Employment Relations Service or a private mediation service.

Transfers to other work

An employee who refuses to do work because it is likely to cause serious harm must do any other work that you reasonably request of them, as long as it is within the scope of their employment agreement.

CRITICAL ELEMENT 3.

Hazard identification, assessment and management

(AS/NZS 4801:2001 Sections 4.3 and 4.4)

Objective

The employer has an active method that systematically identifies, assesses and manages the actual and potential hazards in the workplace, over which the employer has authority or influence.

Details of requirements	Verified by	Achieved yes/no
1. There is a systematic procedure to identify and record actual and potential hazards in the workplace.	1. A procedure that covers an understanding of the range of hazards including (for example) work organisation, job design and hazards facing employees working off-site.	P27–30
	2. Review of hazard registers to support process in action.	P44
	3. Records of regular review of the hazard identification and recording process.	
2. There is a process to assess identified hazards to determine which hazards are significant* according to the definition in the health and safety in employment legislation.	1. Documented definition of significance.	P26
	2. Process to demonstrate the identification of significant hazards* and evidence of implementation of this process.	P39
	3. The hazard register (or similar) identifies which hazards are significant.	P47
3. There are appropriate controls in place for each significant hazard based on the hierarchy in the health and safety in employment legislation to: (a) Eliminate the hazard completely, or (b) Isolate the hazard to prevent the exposure to that particular hazard; or (c) Minimise the impact of the hazard.	1. Procedure for developing appropriate controls.	P37–44
	2. Details of controls developed for significant hazards*.	P47
	3. Process for the issue, renewal and maintenance of safety equipment related to significant hazards* including personal protective equipment.	P42–44
	4. Evidence that controls developed for significant hazards* are based on appropriate documentation or advice (where applicable).	P41–42
4. There are appropriately trained and/or experienced people leading the identification and management of hazards.	1. Records of training, and/or skills and experience for people leading hazard management.	
	2. Evidence of ongoing training or increased experience for people leading hazard management that has occurred within the previous two years.	

* Refer to definitions on pages 138–141

Details of requirements	Verified by	Achieved yes/no
5. There is a procedure for obtaining specialist advice for managing specific hazards, where this competency is not available through internal staff.	1. Procedure to support the appropriate use of specialist advice (e.g. the management of hazardous substances, monitoring of noise levels or assessment of workstations).	
	2. Accessibility of reference information for all staff (e.g. hard copy or electronic) that includes relevant legislation, regulations, codes of practice, safe operating procedures, MSDS etc.	
	3. List or information about availability of internal or external health and safety specialist advice (where applicable).	
6. There is a schedule documenting the minimum review timetable to monitor significant hazards* that have been isolated or minimised.	1. Hazard review timetable appropriate for particular identified hazards.	P44-45
	2. Responsibilities assigned for ensuring timetable is met and signed off at each period.	
7. There is active management of hazards associated with any new or modified equipment, material, services or work processes introduced into the workplace.	1. Hazard identification and management documents.	P37
	2. A process for consultation with relevant health and safety personnel in the purchase or implementation of new or modified equipment, material, services or processes.	
	3. Evidence of health and safety issues incorporated into purchasing and design decisions (where applicable).	
8. There is an ongoing opportunity for the active involvement of union and other nominated employee representatives* in identifying and managing hazards in the workplace.	1. Evidence of employee consultation or active involvement in hazard management, or the provision of ongoing opportunities for involvement (process document accepted for new applications).	
9. There is a process to identify and manage any areas of the workplace requiring specific health monitoring in relation to tasks being undertaken (where applicable).	1. Process to identify tasks requiring monitoring and ongoing regular testing.	P44
	2. Process to undertake baseline monitoring of health related to identified tasks and to notify employees of results (e.g. hearing tests, lung function tests).	
	3. Process for post-critical event testing and exit testing.	P134
	4. Process to manage sub-optimal test results that includes consideration of individual medical and vocational needs.	
	5. Process to feed back sub-optimal results into hazard management.	
10. There is a process to identify tasks where significant hazards* may make pre-employment health screening appropriate to ensure that the potential for work injury or work-related illness through exposure to those particular tasks is minimised.	1. Process documents.	P39
	2. Documented rationale and process for pre-employment health screening that is linked to specific significant hazards* (where applicable).	

* Refer to definitions on pages 138-141

Details of requirements	Verified by	Achieved yes/no
11. Work areas over which the employer has control or influence are planned so that the exposure of visitors and the general public to workplace hazards is minimised.	1. Clear marking of designated areas as appropriate.	
	2. Signage, security log books or visitors' registers available as appropriate to specific areas of the workplace or escorting restrictions and induction for site visitors.	
	3. Evidence that emergency procedures are covered with site visitors.	
	4. Provision of appropriate personal protective equipment for visitors to the site (e.g. goggles, 'hi-viz.' vests).	

Information, training and supervision

Objective

You must ensure that all your employees are informed of their own and your responsibilities for health and safety in your workplace. You must also make sure that your employees know how to manage the hazards to which they are exposed through workplace procedures, environment, equipment and materials.

A place to start

If your employees are not adequately trained for the tasks they undertake, they can cause serious injuries or death. Health and safety training must be an integral part of the training you give to all staff.

Set up a health and safety induction/training programme

Your health and safety induction/training programme should be compulsory for all new employees and employees transferring to new environments, roles or tasks.

The programme should cover:

- Emergency procedures
- Incident and injury reporting
- Hazard management
- Employee and employer responsibilities
- Your process for making sure that employees are actively involved in health and safety management
- Who does what in your health and safety management system
- What to do if an employee is injured
- Employee and employer responsibilities for rehabilitation
- The use and maintenance of health and safety equipment and why it is to be worn.

You should:

- Determine your employees' health and safety training needs for specific roles and tasks in your workplace
- Deliver task-specific training relevant to the roles/types of work your employees do (e.g. licences, certificates)
- Make sure that your employees have been through your induction/training programme
- Make sure that your employees have understood the information and training they have received

- Make sure the people who do health and safety training in your workplace are competent to do so
- Develop criteria for selecting trainers (and record them)
- Keep records of your trainers' skills, experience and qualifications.

Make sure that the people who do health and safety training in your workplace are competent to do so

- Develop criteria for selecting trainers (and record them).
- Keep records of your trainers' skills, experience and qualifications.

Make sure that suitably skilled and experienced people are supervising employees receiving on-the-job training

- Have a supervision system that ensures an employee's inexperience does not put them or others in danger.
- Make sure that your supervisors have the relevant skills and training.
- Determine who is responsible for supervising new employees.

Make information on your workplace health and safety issues available to all your employees

- Display safety information (e.g. signs, safety posters) in all work areas.
- Have a reference library (or equivalent) of health and safety information that all staff can access.

Further information

Standards in the HSE Act

The HSE Act sets out duties for employers and others and incorporates regulations, approved codes of practice and guidelines that have been developed by, or with the help of, Ministry of Business, Innovation and Employment (MBIE).

- **Regulations** describe requirements applying to specific work situations. Like the HSE Act, regulations are enforceable and you could be prosecuted and fined if you breach them.
- **Approved codes of practice** are guidelines approved by the Minister of Labour under the HSE Act. While they may be used in court as evidence of good practice, you are not legally required to adopt them. However, if you choose not to follow a code you must be able to prove that your practice is at least as effective and that you have taken all practicable steps in the circumstances.
- **Guidelines** (developed by, or with the help of, MBIE) may not have undergone a formal approval process, but are nevertheless an important source of information on how to meet the HSE Act's requirements.

New Zealand Standards and other international standards may be included in approved codes of practice and guidelines.

Sources of health and safety information

This diagram shows the priority of guidance sources, arranged according to the degree to which the courts require your compliance.



Working with regulations

Regulations are made under the HSE Act to:

- Set minimum standards for managing particular hazards where alternative control measures are not always effective
- Deal with administrative matters provided for in the Act (such as inspector appointments)
- Give more detail on some general duties in the Act.

You are legally required to meet all regulations' requirements. However, your greatest responsibility is to comply with the Act, which may involve taking further steps than simply meeting the regulations.

The Act incorporates the Health and Safety in Employment Regulations 1995. These apply to all workplaces and cover:

- Facilities required for the health and safety of your employees
- Precautions you need to take with some particular hazards
- Notifications of hazardous construction and forestry work
- Certificates of competence for some kinds of work
- Young people in hazardous places of work
- Agricultural workers' accommodation.

Working with approved codes of practice

The Act allows for the development and approval of statements of preferred work practice, known as 'approved codes of practice'. These are developed by WorkSafe New Zealand in consultation with industries, and may include procedures you could consider when deciding on 'all practicable steps'.

Codes of practice apply to anyone who has a 'duty of care' in the circumstances they describe – such as employers, employees, self-employed people, principals to contracts and owners of buildings and

plant. You are not committing an offence if you don't comply with a code, but the courts may consider your compliance as evidence of good practice.

As with regulations, codes of practice may not cover all potential hazards in your workplace.

Codes have been approved under the Act for the following hazards and processes:

Arboriculture	Operator-protective structures on self-propelled mobile mechanical plant
Boilers – design, safe operation, maintenance and servicing	Paint, printing inks and resins – manufacture
Cranes – design, manufacture, supply, safe operation, maintenance and inspection	Passenger ropeways
Dairy industry spray-drying plant – prevention, detection and control of fire and explosion	Photoengraving and lithographic processes
Demolition	Powder-actuated hand-held fastening tools
Excavation and shafts for foundations	Power-operated elevating work platforms
Forest operations	Precast concrete – safe handling, transportation and erection
Forklifts – training operators and instructors of powered industrial lift trucks	Pressure equipment (excluding boilers)
Helicopter logging	Rigging – load-lifting
Isocyanates – safe use	Rollover protective structures on tractors in agricultural operations
Maintenance of trees around power lines	Scaffolding
Management of substances hazardous to health in the place of work	Sulphur fires and explosions
Managing hazards to prevent major industrial accidents	Timber preservatives and antisapstain chemicals
Noise in the workplace – management	Tree work
	Visual display units in the place of work

Workplace health and safety information

As an employer you are expected to have a range of measures to help promote health and safety in your workplace. These include:

- Wardens or health and safety officers
- Fire procedures
- Earthquake procedures
- Bomb procedures
- Means for dealing with natural disasters
- Means for managing aggressive situations
- A health and safety committee
- An injury or accident (hazard) register.

Make sure that all your employees are aware of these measures.

Examples

These examples show how different employers ensure that they and their employees keep informed about health and safety requirements in their day-to-day work.

Example one

Joe and Pete are in business together. Joe is a panelbeater, while Pete is a spraypainter. They trade from their workshop as J&P Panel and Paint Ltd. They employ Tim full-time to help out, and two mornings a week Julie comes in to help with the paperwork.

The HSE Act applies generally to the whole team and workplace. To find out what the company needs to do to meet the Act's requirements, J&P Panel and Paint refers to various other documents. Firstly, Pete observes the Spraypainting Regulations [Spray Coating Regulations 1992? See <http://www.legislation.govt.nz/regulation/public/1962/0054/latest/DLM16295.html>], which set minimum ventilation and other requirements that must be observed. When he uses isocyanate-based paints – which present special health risks – the Approved Code of Practice for the Safe Use of Isocyanates sets a standard of good practice. He keeps copies of these documents on the premises.

The Approved Code of Practice for the Management of Substances Hazardous to Health sets out good practice for storing and using the range of paints, solvents and substances in the business generally. Noise is another workplace hazard, for which the business refers to the Approved Code of Practice for the Management of Noise in the Workplace.

In setting up and maintaining the workshop facilities, J&P Panel and Paint uses the Guidelines for the Provision of Facilities and General Safety and Health in Commercial and Industrial Premises.

Julie uses a computer for her work, and the workstation is set up in accordance with the Guidelines for the use of computers [Guidelines for Using Computers] See <http://www.business.govt.nz/worksafe/information-guidance/all-guidance-items/guidelines-for-using-computers>. Although they don't have copies of these documents, Joe and Pete have familiarised themselves with them through a trade association and contact with a health and safety inspector.

Example two

Lester is a logger who works for EZ Logging Contractors Ltd, which is owned and operated by Leon. Most of the company's work is under contract to Radiata Corporation, a forest owner.

Each of the parties has obligations under the HSE Act. Lester fulfils his duties as an employee by following the safe logging practices in the Approved Code of Practice for Safety and Health in Forest Operations. He keeps a copy in the work truck and calls the little book 'the bushman's bible'.

Leon uses the Code as a manual of good practice and keeps a copy in his ute. He also refers to a copy of the Guidelines for the Provision of Facilities and General Safety and Health in Forestry Work – and he is familiar with the notification requirements for forestry work from the general Health and Safety in Employment Regulations 1995, which are reproduced in the Guidelines.

The managers and overseers of Radiata Corporation are familiar with the Act itself, the Regulations and the company's obligations as principal to contractors, as an employer of its own crews and as a forest owner.

They refer to the Approved Code and the forestry Guidelines regularly and ensure that their own employees, and contractors, observe the standards they set.

Training and supervision

Employees who are not adequately trained to perform their tasks can cause serious injuries or even death. As an employer you must:

- Inform and train your employees in health and safety issues in your workplace
- Make sure they specifically know about the hazards to which they are exposed
- Supervise your employees, especially those who are new and less skilled, to make sure they work safely.

What the law says

You have a legal obligation to train your employees in hazards to which they are exposed, safety equipment and clothing, emergency procedures, and health and safety systems and issues.

Employees who are not fully trained in their jobs must be adequately supervised.

Applicable sections of the HSE Act

Section	
12	<p>Information for employees generally and health and safety representatives</p> <p>(1) Every employer shall ensure that every employee who does work of any kind, or uses plant of any kind, or deals with a substance of any kind, in a place of work has been given, and is provided with ready access to, information in a form and manner that the employee is reasonably likely to understand about—</p> <p>(a) what to do if an emergency arises while the employee is doing work of that kind, using plant of that kind, or dealing with substances of that kind, in that place; and</p> <p>(b) all identified hazards to which the employee is or may be exposed while doing work of that kind, using plant of that kind, or dealing with substances of that kind, in that place, and the steps to be taken to minimise the likelihood that the hazards will be a cause or source of harm to the employee; and</p> <p>(c) all identified hazards the employee will or may create while doing work of that kind, using plant of that kind, or dealing with substances of that kind, in that place, and the steps to be taken to minimise the likelihood that the hazards will be a cause or source of harm to other people; and</p> <p>(d) where all necessary safety clothing, devices, equipment, and materials are kept.</p> <p>(2) An employer must ensure that all health and safety representatives in a place of work have ready access to sufficient information about health and safety systems and health and safety issues in the place of work to enable the representatives to perform their functions effectively.</p>
13	<p>Duties of employers in relation to training and supervision</p> <p>Training and supervision</p> <p>Every employer shall take all practicable steps to ensure that every employee who does work of any kind, or uses plant of any kind, or deals with a substance of any kind, in a place of work—</p> <p>(a) either—</p> <p>(i) has; or</p> <p>(ii) is so supervised, by a person who has,—</p> <p>such knowledge and experience of similar places, and work, plant, or substances of that kind, as to ensure that the employee's doing the work, using the plant, or dealing with the substance, is not likely to cause harm to the employee or other people; and</p> <p>(b) is adequately trained in the safe use of all plant, objects, substances, and protective clothing and equipment that the employee is or may be required to use or handle.</p>

Training in hazards

Make sure that your employees know how you manage the specific hazards to which they are exposed through workplace procedures, environment, equipment and materials.

Go through your hazard register and identify where they need training in controlling hazards.

- Identify the jobs/tasks/roles affected.
- Identify who needs to be trained.
- Identify what the training needs to cover.
- Find a training provider.
- Plan and run the training.
- Include safe work procedures in employee induction, standard operating procedures and on-the-job training.

Supporting your health and safety programme with training

Use training to support other parts of your health and safety programme. For example, you could train your employees in:

- Actions they need to take to control hazards
- The correct use of PPE or respiratory protective equipment (RPE)
- Reporting an injury or near miss
- Emergency procedures.

Training to address lack of skills or knowledge

Training is needed when employees lack the skills or knowledge to do their jobs safely. Before you begin any training, make sure it is the right solution. It is not appropriate to try to fix a performance problem with training.

Example

Customers complained about a lack of customer service and efficiency at a call centre. A consultant was hired to provide 'customer relations skills' training for the call centre staff.

As the training progressed, it became apparent that the lack of a fax machine had created the problem, because call centre staff were leaving their desks (and their phones) to use a fax in a different department. The machine was often busy and faxes frequently didn't go through, so staff had to wait to check they successfully transmitted – staying away from their desks even longer.

Lack of training wasn't the problem. Supplying a fax machine (or perhaps two) was the answer. Before introducing any type of training programme, be sure to do a thorough needs analysis.

Quality of training and supervision

To see how well you train and supervise staff in health and safety, ask yourself and your staff the questions in the training and supervising staff template on the following page.

If you cannot answer **yes** to all of the questions then note down the action you and your staff need to take in the training and supervising staff areas for improvement template.

Training and supervising staff

Company name: <input type="text"/>	For the year: <input type="text"/>		
	Yes	No	N/A
Do you discuss health and safety with staff and health and safety representatives, listen to their concerns and keep formal records of discussions?			
Have you informed staff about hazards (and their controls) in the workplace?			
Have you trained staff in safe work procedures?			
Have you trained staff in emergency procedures?			
Do staff know how to use and maintain personal protective equipment?			
Do you and your staff have up-to-date certificates and licences to use plant and equipment (current licence for driving a forklift, current first aid certificate)?			
Are new staff introduced to the workplace via an induction or orientation that includes health and safety?			
Do you have a training plan to keep track of what health and safety training your staff require and do you keep records of training that has been completed?			
Are new and less skilled staff supervised while they perform tasks until they can demonstrate they are competent?			

Establishing your workplace training plan

Where you identify any gaps, plan the appropriate training. Your plan should include the training requirements, who will attend and when, and – as a check – the date the training is completed.

Training topics

When developing your training plan, consider whether your employees are adequately trained in the major areas listed below.

Hazard management

You need to provide your employees with training in hazard controls, such as:

- Safe operating procedures
- PPE and RPE
- Guarding machinery
- Maintenance procedures
- Manual handling
- Preventing gradual process injuries.

Emergency procedures

You need to support your emergency procedures and plans with good training, such as in:

- Using emergency equipment
- Evacuation drills
- What to do in specific emergency situations, such as chemical spills, managing aggressive clients and armed robberies.

Regular training updates

Some jobs and tasks require prescribed training (such as for forklift licences and first aid certificates) that has to be renewed to stay up to date.

Example training plan

Keep this form when it is completed to use as a training record.

Company name: ABC company

For the year: 2014

Training topic or course	Names of staff to attend	Date due and completed
Safe work practices (whole workplace)	Bill Quinn, Carol Smith, Kyle Brown, Tony Randall, Leilani Lippa, Joe Osborne	Due September 2014 Completed 6/9/14
Health and safety – identifying hazards and hazard controls in place	Bill Quinn, Carol Smith, Kyle Brown, Tony Randall, Leilani Lippa, Joe Osborne	Due December 2014
Forklift licence	Bill Quinn	Due July 2014
First aid refresher course	Carol Smith, Tony Randall	Due August 2014
Safe work practices in the warehouse	Bill Quinn, Tony Randall	Due November 2014 Completed 09/14

New employees

Induction training must include health and safety – see the example ‘workplace introduction checklist’ on page 69. New employees also need to be supervised until they can work safely.

Introducing (inducting) new employees to your workplace

By providing an induction programme you will help new employees to feel comfortable and work safely and productively. When structuring your programme, think about:

- Involving key people e.g. supervisors and co-workers
- Pacing the induction so that employees do not get too much information at once
- Showing, as well as telling, employees how to perform work tasks
- Encouraging them to ask questions
- Their language, culture and literacy needs
- Going over things that may seem common sense to you. Remember, your new employees’ current knowledge, training and experience may not be directly applicable to your workplace, equipment, tools and work practices
- Making sure that the employees are supervised while they perform new tasks, until they show the desired skill levels
- Checking that the employees understand what they have been told and shown
- Following up with visits, demonstrations and training sessions, as needed, throughout the employees’ first year of work.

Getting your new employees to complete an introduction checklist will give both you and them the confidence that you have covered the necessary induction information.

Workplace introduction checklist

Company name: _____

Staff member name: _____ Position/job title: _____

Employment start date: _____ Supervisor/manager: _____

Workplace introduction

This workplace

I have been shown/introduced to:

- my supervisor/manager
- other staff
- key jobs, tasks and responsibilities
- work area, toilets, eating and drinking facilities
- where to make phone calls and collect messages.

Employment conditions

- work times and meal breaks
- rates of pay and how payment is made
- leave entitlement
- sick leave and who to call if sick
- how to use and maintain personal protective equipment.

Health and safety

Health and safety

I have been shown:

- how to do my job safely, including the use of guards and other safety equipment
- the safety signs and what they mean
- how to safely use/store and maintain safety equipment
- how to safely use/store and maintain equipment, machinery, tools and hazardous substances.

I know:

- my responsibilities as a staff member
- when health and safety meetings are
- here health and safety information is kept.

Hazards

I know:

- the hazards in my workplace
- the controls for these hazards
- how to report hazards
- where records of hazards are kept
- safe work procedures
- that I will receive the results of personal health monitoring.

Emergencies

I am familiar with:

- the emergency exits
- the fire extinguishers and their location
- the evacuation procedure
- the first aid kit and its location
- the first aiders (if applicable)
- my assembly area is:

Incidents and injuries

I know how to report:

- incidents and accidents
- near hits/near misses
- early signs of discomfort
- where accident forms are kept

I report to:

- I know reports will be investigated and I will be kept informed of the results.

Staff member's signature: _____ Date: _____

Manager's signature: _____ Date: _____

On-the-job training

On-the-job training is a useful way of upskilling employees. When you use it, incorporate safety features (such as using safety equipment) into the task being taught. You can also use on-the-job training to teach safe work procedures.

Planning your on-the-job training

Make sure you plan your on-the-job training, even if it is for just one person.

- Be sure you can explain what they are doing.
- Demonstrate tasks at a slower pace so your employees have time to observe and ask questions.
- Make sure that everyone can see what is happening during the demonstration.
- Present the training in a logical sequence.
- Check that the employees have learned what you have taught.
- Help employees to understand the 'key points' of tasks, otherwise they may give similar values to all the task steps.

Preparing for training

You can make training more effective by:

- Preparing checklists, which:
 - Improve learning quality
 - Reduce training variation by covering all important information
 - Enable process improvements to be recorded for later training
- Organising the learning environment so that:
 - There is minimal chance of employees being distracted, and learning can take place undisturbed
 - Training costs can be minimised
- Reducing employees' anxiety by:
 - Informing them when the training will take place
 - Letting them know that they can expect to succeed
 - Encouraging them to ask questions.

Demonstrating a task

Follow these steps to demonstrate a task:

- Provide context, explaining the importance of the task
- Go over the checklist
- Demonstrate the task – from the employees' perspective – with appropriate pace, pausing, exaggeration of movements and quiet
- Explain the key points
- Provide a control signal

- Demonstrate the task a second time
- Check the employees' understanding, encouraging them before they attempt it.

Observing and correcting performance

Get the employees to carry out the tasks so that you can decide whether they can do them competently.

When observing them, you need to decide:

- Whether the competence levels they display meet the standards you noted in your checklist
- How problems can be corrected, either through further training (perhaps breaking up the task) or through practice.

Competence decisions

- How close is the employee's performance to the standard?

Correction decisions

- How serious were the employee's errors? What is the most important to fix? Where do you start?
- What problems can the employee fix themselves, given more practice? Should you break up the task further?
- Do you need to see the employee do the task again?

When correcting employees:

- Follow the feedback process (see below)
- Ensure that they are clear about what you expect them to do next
- Focus on the issue, not the person – confront defensiveness rather than get into debates over who is to blame for errors.

As well as giving your own feedback, try using questions that encourage employees to critique their own performance.

Feedback

Both the trainer and the trainee need information from each other.

- The trainer needs to know the trainees are following and keeping pace.
- The trainees need feedback on the standard of their performance.

Giving feedback

Give feedback to help your employees know what they have done right and correct the things they have done wrong. Provide reinforcement; rewarding people for doing things right encourages them to change their behaviour.

Factors to consider:

- Test employees frequently for trainer feedback
- Ensure that tested employees get feedback on their performance as soon as possible
- Expand testing so that it includes the trainer asking frequent questions of the group

- Encourage positive and negative feedback; negative feedback is also productive
- Acknowledge when an employee does or says something right (in front of the group if possible)
- Build positive reinforcement into training presentations from the very beginning
- Look for someone doing it right as well as for someone doing it wrong.

Seeking feedback

Ask for feedback from employees during training to check they have understood key points and are keeping pace.

Factors to consider:

- Use open questions
- Answer questions and address concerns
- If challenged, think of how you can meet the employees' needs rather than defend how you tried to teach the material the first time around
- Use feedback to improve the course for the next time.

Training follow-up

It is important to give your employees time to practise their new skills – and make mistakes – back on the job. A two- or four-hour training course does not make an employee proficient in the new skill; it takes time and practice.

For example

A company developed a new customer-management data program at great expense in both time and money. However, it left the old program running side by side on its employees' computers – so whenever someone got stuck in the new system, they would 'flip' to the old system to complete the task.

The result? Incomplete records housed in both programs. Plus, the employees did not gain the necessary skills or an adequate understanding of the new program's requirements. Six months after the new system's implementation a trainer was called in to figure out why, despite a week of training, employees could not use the new system. It did not take long to figure out – but it took 10 weeks to fix it.

Communication and keeping records

As with all other parts of your business, health and safety requires good communication and record-keeping. Health and safety information needs to be:

- Understandable
- Accessible – somewhere where people will take note of it
- Up to date.

You can collect a large variety of records on training and keeping employees informed. These include policies, procedures, memos, individual training records, training plans and records of discussions.



































Document control

Have a system for updating health and safety documents so that your employees have the latest versions of health and safety information.

If you work in a large, multi-site organisation, documentation reviews and changes are likely to happen at different rates, even if the system is centralised. Holding people accountable is easier if particular job roles are made responsible for documentation control.

Example training record

Compile a training record of your employees like the example below. You can then see at a glance the skills employees have.

Training record					
Key					
 Cannot do job	 Can do job under supervision	 Fully competent – no supervision	 Fully competent and able to train/ supervise others		
	Brake pass	Lathe	Fork hoist	Docking saw	Chemicals
Jeff					
Charlie					
Marie					
Sonny					
Lyn					
Henare					

Record of safety discussions

It is a good idea to note down informal and formal health and safety discussions held at your workplace. Here is an example.

Record of safety discussions

It is a good idea to note down informal and formal workplace health and safety discussions..

Workplace name:

Date of discussion:

People present

Comments and issues

Action	Who	When	Completed (sign and date)

CRITICAL ELEMENT 4.

Information, training and supervision

(AS/NZS 4801:2001 Section 4.4)

Objective

The employer will ensure that all employees are informed of their own responsibilities and the employer's responsibilities for health and safety in the workplace. The employer will ensure that employees have specific knowledge concerning management of the hazards to which they are exposed through workplace procedures, environment, equipment and materials.

Details of requirements	Verified by	Achieved yes/no
1. There is appropriate health and safety induction training for new employees and employees transferring to a new environment, role or task.	1. Evidence of staff health and safety induction training that includes consideration of the following needs (where appropriate): <ul style="list-style-type: none">• Emergency procedures• Incident and injury reporting• Hazard identification• Employer and employee responsibilities• The process for employee health and safety representation• Information about the health and safety forum/s• Designated roles for health and safety and rehabilitation• Work injury claims process• Rehabilitation responsibilities• Use and maintenance of relevant health and safety equipment, including personal protective equipment (e.g. Checklist, training information).	P60–73
	2. Signed employee induction training records (or similar individual verification).	P69
2. There is identification of health and safety training needs in relation to hazards associated with specific roles, tasks or areas of work.	1. Procedure to identify training needs for specific roles, tasks, or areas of work (e.g. training needs assessment or training plan linked to hazard management).	P61–68

Details of requirements	Verified by	Achieved yes/no
3. All health and safety information and training is delivered so that the key messages are clearly understood, taking into account language, literacy, vision, hearing or other variables.	1. A process to determine that health and safety information and training have been understood.	P72–73
	2. Signed employee training records (or similar individual verification).	P66–67
	3. Evidence that task-specific training has occurred (e.g. certification, training records or similar where applicable).	
	4. A process for ‘bring-up’ reminder facility for recurring training or certification requirements including assignment of responsibilities for this process.	
	5. Evidence to demonstrate that competency has been achieved following specific health and safety training (e.g. written or oral tests, certifications, practical skill demonstrations including on-the-job assessments).	
4. There is access to internal staff members with the relevant skills, experience or qualifications to undertake training.	1. Guideline document (or similar) outlining health and safety trainer selection criteria.	
	2. Records of internal trainer’s skills, experience or qualifications.	
5. There is a process to determine the relevant skills, experience or qualifications of external trainers used for specific training requirements.	1. Selection criteria or similar for use of external trainers (where applicable).	
6. There is a system for controlling health and safety-related documents and information including the dissemination of applicable information to staff and notification of outdated documents.	1. Document control system (paper based or electronic).	P73
	2. Dates on health and safety documents at operational sites.	
	3. Role-specific responsibilities to review health and safety documentation control.	
7. Health and safety information specific to the workplace is available to all employees.	1. Access to further information is included in health and safety information available in the workplace (e.g. posters, signs, training, intranet, briefings, meeting schedules or similar).	P56
8. Supervision for employees undergoing on-the-job training is provided by experienced and skilled staff to ensure the employee’s newness to the task or role does not endanger themselves, others or equipment.	1. A process that requires assessment of relevant experience and skills for the supervision of employees undergoing on-the-job training.	P56
	2. A process for the clear designation of responsibility for supervision of new employees.	

Incident investigation

Objective

You must have a system that ensures that incidents and injuries are reported, recorded and investigated, and the appropriate corrective actions are taken.

What we mean by...

'Incident' includes all accidents, 'near misses' and 'near hit' incidents (i.e. events that might have harmed any employee during the course of their work).

'Injury' includes work-related and health illnesses.

A place to start

Incident and injury reporting and investigation are key elements of day-to-day health and safety practice. Investigating incidents and injuries helps you to identify and control hazards to prevent similar events in the future.

Set up a system for reporting, recording and analysing incidents and injuries in your workplace

Your system should include:

- Written instructions for reporting and recording incidents/injuries
- Anonymous reporting (does not include specific names)
- Incident/Injury reporting forms
- Reporting systems (e.g. incident/injury registers) available in all work areas
- Procedures that require early reporting of, and prompt attention to, all incidents and injuries
- Data from all incident/injury registers collated into a central point for later analysis.

Make sure your employees understand their responsibilities for reporting and recording all incidents and injuries

- Let your employees know about incident and injury reporting. Keep records of how this was communicated (e.g. team briefing or health and safety committee meeting minutes).
- Keep completed incident and injury records in a register, database or similar.

Establish procedures for notifying WorkSafe New Zealand about serious harm injuries (this is required by law under the HSE Act)

- Identify and write down the name of the person responsible for notifying WorkSafe New Zealand.
- Notify WorkSafe New Zealand of all serious harm accidents as soon as possible.

Investigate all incidents and injuries

- Have an investigation procedure.
- Decide who carries out investigations.
- Have an investigation form.
- Avoid a 'blame' focus in what did/did not happen.
- Keep records of completed investigation reports.

Take suitable corrective action after an investigation

- Have a procedure to take corrective action if an investigation uncovers deficiencies.
- Feed hazards identified in the investigation into your hazard management process.

Identifying causes of injury

The Incident Investigation Process is one of a number of models and investigation techniques that can help you to identify the factors that contribute to an incident or injury. It will ensure that you explore all the influences before deciding why an incident happened. These factors relate to:

- The way **tasks** are carried out
- The **systems** and **environmental** factors
- The workplace culture.

IN MORE DETAIL

Why investigate incidents and injuries?

The purpose of investigating incidents and injuries is not to find fault or lay blame, but to take action to prevent incidents/injuries happening again.

Investigations will help you to:

- Establish the facts of what happened (not theories)
- Identify the causes and contributing factors
- Take action to prevent similar incidents and injuries happening in the future.

You can prevent injuries by:

- Preventing the type of event e.g. prevent a car crash by maintaining your vehicle, improving driving skills and following road rules
- Minimising injury if the event happens e.g. reduce injuries by wearing a seatbelt and driving a car with airbag, side intrusion beams, etc.

Summary of the investigation process

1. Before you have any incidents or injuries, set up a process for reporting, recording and investigating work-related incidents and injuries.
2. When an incident or injury happens, make sure that:
 - The injured person(s) is given appropriate medical treatment
 - The scene is made safe
 - An injury/incident report is completed
 - If appropriate, WorkSafe New Zealand and other agencies are notified.
3. Investigate the event
 - Plan how you will conduct the investigation, who will be involved and the equipment that you will require.
4. Collect information about:
 - The people
 - The work activity
 - The environment/equipment.
5. Analyse:
 - What contributed to the event
 - What you can change.
6. Take action to prevent future events
 - Record hazards and the actions taken to manage them in the hazard register.
7. Provide feedback
 - Write a report for managers on the investigation findings.
 - Inform the injured person(s) and other staff of the findings and resulting action.
8. Monitor and/or close
 - Ensure that actions have been implemented.
 - Monitor actions to ensure that they continue to be effective.

How to complete an incident/injury investigation

1. Staff member or person reports an injury or accident

Respond to the incident injury by:

- Completing an incident report
- Report serious harm to Worksafe New Zealand



2. Collect information about the event on an accident investigation form and:

- Talk to the injured person, eyewitnesses and others doing similar job
- Look at work activity at time of event. Were procedures in place and were they used?
- Examine personally and ask others about the environment and equipment



3. Investigate and analyse information to find out what caused and contributed to the incident/accident.

Identify factors that contributed to the event (avoid blaming anyone). This includes finding out:

- Are safe procedures adequate and work activities appropriate?
- What contributed to the event?
- What actions need to be developed for the hazards identified?



4. Take action and feedback to staff

- Prevent future incidents and injuries by ensuring the identified hazards are recorded in the hazard register and appropriately controlled
- Let staff know about your findings on the investigation.



5. Continue to monitor and/or close

- Ensure that actions have been implemented and successfully controlled
- Monitor if required

Investigation steps in more detail

1. Before you have any incidents or injuries

Set up a system for reporting, recording and analysing incidents and injuries.

A process for reporting injuries	How
Establish a procedure for reporting injuries.	
Make sure that employees know about the reporting procedures, including where the forms are and to whom to report.	Team briefings, staff health and safety meetings and training, memos, newsletters, induction etc.
A process for recording injuries	How
Make incident and injury (accident) reporting forms available in all work areas.	Keep a record on individual employee files and in a central database or system.
Keep a central record of completed incident and injury forms (so you can review and analyse incident and injury data).	
A process for investigating incidents and injuries	How
Establish a procedure for investigating incidents and injuries.	
Use an incident and injury (accident) investigation form.	
Appoint designated incident and injury investigators (usually managers and health and safety representatives).	Nominate and train selected staff in incident and injury investigation.

See the sample 'accident investigation' form on page 95 or go to the WorkSafe New Zealand website www.business.govt.nz/worksafe.

2. When an incident or injury happens

Get medical treatment

Make sure that the injured person gets appropriate medical treatment e.g. first aid, doctor, hospital or emergency services. Record the treatment they receive (see page 95).

Ensure that the scene is safe

If you cannot make the scene safe, secure it so that no one else can be harmed e.g. turn off or isolate equipment. No equipment materials involved in the event should be removed and if possible take photos.

Notify WorkSafe New Zealand (where harm is serious harm*).

Ring WorkSafe New Zealand or the appropriate agency immediately. Check whether you can disturb the scene; if not, isolate it or cordon it off.

You also need to send WorkSafe New Zealand a Serious Harm Notification Form within seven days and a copy of your completed investigation. (A copy of the form is included on page 96.)

Notify other agencies (if required)

The table below details situations when you are legally required to notify other agencies (usually as well as notifying WorkSafe New Zealand).

If serious harm happens...	Notify
Owing to electrical or gas work, installation or appliances	Ministry of Commerce
Owing to any kind of transport And, if: <ul style="list-style-type: none">• At sea• In an aeroplane• On the road• On the railway	Transport Accident Investigation Commission Maritime New Zealand Civil Aviation Authority NZ Transport Agency
Involving radioactive substances	National Radiation Laboratory
Involving criminal negligence	New Zealand Police

Completing the report form

Ask the injured person (or someone else, such as their health and safety representative) to complete an incident/injury report form and give it to the appropriate manager.

3. Investigate the event

- Plan your investigation by considering:
- Who will be the investigator or on the investigation team?
- What needs to happen to secure the site?
- What are your transport, communication and administration requirements?
- Is PPE or RPE needed?
- Who needs to be interviewed?
- Is there a quiet area for interviews and analysis?
- How will fragile or perishable data be recorded?
- How will evidence be collected, labelled, logged and stored?

Your investigation kit could include:

- Incident/Injury investigation forms
- Pens, pencils, paper, clipboard
- Chalk
- Video/Camera
- Torch and batteries
- Cordon tape
- Tape measure
- Inclinator
- Mobile phone
- Laptop
- Identification and warning tags
- PPE if required

Who should be on the investigation team?

Ideally, your investigator will be:

- Expert in the causes of incident and injury
- Experienced in investigation techniques
- Fully knowledgeable of the work processes, procedures, people and work environment.

If this person proves difficult to find, you can gather these skills and knowledge from a number of members in your investigation team.

It is useful to have a supervisor, employee and manager involved at various stages of the investigation, so that no-one is tempted to overlook evidence that may implicate them or their workmates.

Everyone on the investigation team should respect all those involved (e.g. witnesses) and ensure that private information is kept confidential.

4. Collect information

When collecting information at this stage, avoid making judgements or drawing conclusions.

Tips for collecting information

- Look for facts – be aware of beliefs, cultural practices, myths and business practices based on historical knowledge.
- Describe the event, including what happened before, during and after it.
- Write down your information as short statements, with each containing a specific point.
- Use diagrams and sketches if appropriate – use measurements and labelling.
- Interview the injured person(s) and witness(es) as soon as possible. Interview them one at a time and in private.
- It may be helpful to interview those involved, and witnesses, at the scene of the event, so they can show you what happened.

Cross-checking your evidence

Witnesses' stories may differ. If they do, this simply reflects their ability to observe and remember things.

To cross-check:

- Wait until the end of interviews to cross-check information – let people give their full versions of events first
- Compare statements with other statements
- Compare statements and physical evidence.

Asking questions

Closed questions require a specific response from the person being interviewed. These are useful for collecting information. What time did the incident occur?

An **open question** suggests an area of interest but allows for a range of replies, and often starts with 'Who', 'What', 'When', 'Where' or 'How'; for example:

- Who was involved in the incident?
- What happened to cause the incident?’
- When was it realised something was wrong?
- Where did the incident occur?’
- How did people respond?’
- What were the environmental conditions (noise etc) at the time?

The yes/no question

Such questions call only for a ‘Yes’ or ‘No’ answer. They may be useful for collecting information but not for exploring issues; for example:

- Were safety glasses worn to do that job?’

Avoid multiple questions

Multiple questions have two or more parts. Most people find them confusing, so break them into separate questions.

Avoid leading questions

Leading questions try to guide the interviewee towards or away from a particular answer’; for example: ‘So that wasn’t successful?’.

Active listening

Use active listening during the interview. That is:

- Watch the speaker
- Note the body language
- Maintain good eye contact.

Adopt an alert posture and expression and react with appropriate nods and brief statements: ‘I see’, ‘Right’, ‘Go on’, ‘Really!’.

Check what the interviewee has said (and that you have understood it) by summarising their answer.

Avoid preconceptions

Beware of judging the situation from what you have learned from the evidence so far.

Make sure you clarify and cross-check evidence – but not to prove a theory. If you try to prove a theory of what happened while you are still collecting information, you risk spending the interview picking out only the information that confirms your theory or judgement. Suspend your judgement, remain neutral and listen to all that is said.

Collecting information about the event

When collecting information about the event, consider:

- The people
- The work activity
- The equipment and environment.

People

Talk to the injured person, eyewitnesses and others doing a similar job. To find out who to interview, ask:

- Who was injured?
- Who saw the event?
- Who was working in the area?
- Who else was involved?
- Who was supervising the work area?
- Who assigned the work responsibilities?

Remember...

If it is a serious event or injury, people may be emotional and suspicious.

- Set the scene and put people at ease.
- Avoid blame body language.

Find out about the event:

- What was the injury?
- What other damage happened (e.g. to machinery, tools)?
- Where did the event happen?
- When did the event happen?
- Where were the witnesses and supervisor at the time of the event?

Culture factors:

- Is health and safety a priority in relation to other (production and service) goals?
- Are the manager and supervisor aware of and committed to health and safety?
- Are the employees involved in health and safety?

Systems factors:

- Are work expectations and safety information well communicated and understood?
- How would you describe the relationship between the employees and their supervisor/ manager?

Work activity

Find out what work activity was happening at the time of the event:

- What was the injured person doing at the time of the event?
- What procedures were in place in relation to activity and tasks?
- Were procedures followed or were they flawed?

Remember to check:

- Operating procedures
- Hazard identification and control records
- Previous incident reports and investigations
- Training records.

Tasks factors:

- Was lifting; manual, patient or animal handling; pushing/pulling; or carrying involved?
- Was awkward or constrained posture, or forceful or repetitive movements, involved in the work?
- Was a mistake made?
- Were the safety rules broken?
- Did any personal factors affect the way the work was done (e.g. level of skill and strength, eyesight and hearing)?

Systems factors:

- What training and education did the injured person/other employees have for this work?
- Do any work organisation factors: workload-paced work, overtime, work hours (daily and weekly, shift work) affect the work?
- Are hazards in the work area and work activity identified and managed?
- Have there been any similar events here in the past few years?
- Are incidents and injuries associated with the work and work area reported and investigated?

Equipment and environment

Find out the equipment and environmental factors involved:

- What tools, equipment, machinery and/or substances were being used at the time of the event?
- What procedures were in place relating to their use?
- Were the procedures followed?

Systems factors:

- Were the equipment, machinery and tools well maintained?
- Is the design of equipment, machinery and tools appropriate for the work?
- Were any physical environment factors relevant e.g. lighting, temperature, noise?
- What is the housekeeping (e.g. removing clutter and waste) like?

Remember to check:

- Maintenance, inspection and test records
- Design specifications
- Equipment manuals.

5. Analyse

Compile your information into the order in which things happened

Write a clear explanation of what happened and how it happened. Outline the factors involved and how they contributed to the event. Consider including:

- The work/task being done
- Materials and equipment and the physical environment (lighting, signs, noise, etc)
- Supervision, training, instruction and work procedures for the task
- The people involved
- Where and when the event happened
- The injuries and/or damage that resulted
- How the injuries and/or damage were dealt with.

Identify the factors that contributed to the event

To do this you may need to ask why certain things happened and follow up with a few more questions, such as:

- Why did systems break down (e.g. why did communication fail)?
- Why was the hazard not identified or not controlled?
 - Why were systems not in place (e.g. training, protective equipment) or why were they not used?
 - Why were the hazards in situations, environments and equipment not well controlled?
 - Why were operating procedures, including safe work procedures, not in place or why were they not used?

You may also need to seek specialist advice to better understand the issues involved. For example, you may need advice on the kinds of respirator required.

Note the part of the Incident Investigation Process into which the contributing factors fit (culture, systems and tasks).

Look for relationships between different levels of the Incident Investigation Process:

- Did culture and systems factors lead to factors at the tasks level? For example, did the employee not use lifting equipment (breach of safety rules at tasks level) because it was not maintained (systems level) or because injury prevention was not part of day-to-day business and activities (culture level)?
- Look for an interaction of factors. For example, if you have a short person working on a high workbench neither factor is problematic on its own, but when they combine and the short person works on a high workbench for long periods you may have a problem.

Identify key factors that caused the event

These may be:

- A range of factors that you identify at culture, systems and tasks levels; or
- Key factors that, had they been ruled out, would have changed the outcome of the event; or
- An interaction of factors that may not in themselves create a problem, but the way they combined resulted in the event.

6. Take action to prevent future events

Identify the action you need to take to control the factors that caused and/or contributed to the event.

Decide on the contributing factors that need preventive action

Look at the contributing factors and decide on the ones you can control and the ones on which it will be most effective to focus. It is often more effective to control factors at systems than at tasks level.

Decide on the action that needs to be taken

The action you recommend could include:

- Changing hazard control measures
- Redesigning equipment, tools or environments
- Changing supervision
- Changing the operation and use of:
 - Plant, machinery and vehicles
 - Equipment and tools
 - Materials or substances
 - PPE or RPE
 - Training, information, instruction and induction
 - Emergency responses
- Changing job methods and operating procedures
- Introducing checklists and audits
- Introducing maintenance schedules and records
- Redefining responsibilities
- Changing management systems
- Improving recruitment and selection processes
- Changing or updating policies and procedures.

If budgets are tight, you may need to recommend a short-term action (such as regularly checking that employees are using team lifting) and a longer-term action (such as purchasing lifting equipment).

Assign responsibilities and timeframes

When you make your recommendations for action, suggest timeframes and the people responsible – and identify who is going to check that the action(s) has been completed.

Update the hazard register

Make sure the action(s) includes managing hazards that have been identified (or found not to be effectively controlled) and updating the hazard register.

Disciplinary action

On rare occasions your investigation may result in disciplinary action for individual employees – for example, where an employee has breached safety rules that are well understood and commonly complied with.

It is important that this is seen as a last resort, rather than the likely result of an investigation.

Before you take disciplinary action, check that you have all the systems in place and that it is the correct course of action.

7. Provide feedback

Advise a manager(s) of the investigation results using a written report format

Report the findings of the investigation and recommendations for action to:

- The appropriate manager(s)
- The health and safety committee (or similar staff representative body)
- Employees affected by the investigation – particularly those who reported the event, were injured and were interviewed.

Your report should include:

- A copy of the incident/injury form (with personal details removed, except for the injured person's direct manager)
- Three sections:
 - Information details – the kind of information collected
 - Analysis – a description of the event and key contributing factors
 - Action details – what needs doing to fix the situation
- Appendices – formal statements, specialist reports, photographs, sketches etc. Note that written statements must not identify individuals.

Reporting...

Needs to be impartial and should exclude individual employees' names. The investigation is about issues – not individuals.

Give a copy of the report to the health and safety committee. Make sure it maintains confidentiality and does not identify individuals.

Choose an appropriate way to communicate the results to staff.

- If you need to communicate the results to the injured person or employees who were upset by the event, a verbal report given face to face is likely to be most appropriate. These people may also like to see a copy of the report (again, ensure that it maintains confidentiality).
- Tell employees who work in the area where the event happened about the action(s) that will be taken. Use your usual methods of communication e.g. meetings, newsletters, email.

Recognition

Praise and compliment employees involved in the investigation (witnesses etc) in a semiformal setting. This gives them important feedback and encourages them to make positive contributions to future investigations.

8. Monitor and/or close

Once you have made your recommendations, make sure that the recommended action(s) is followed through to prevent a similar injury or incident happening again.

- Check that the actions have been implemented.
- Check that the hazard register has been updated.
- Check that the hazard controls are effective in controlling the hazard(s).
- Make sure that hazard controls that require monitoring become part of the hazard system.

When all the actions have been completed and incorporated into other systems – such as hazard management, maintenance and monitoring – you or the investigation leader can officially close the investigation.

Review collated injury data

Review collated injury data at least six-monthly to:

- Check your progress in preventing serious injuries
- Check your record in reporting incidents/near misses
- Identify trends
- Target injury prevention activity in appropriate areas and for appropriate issues.

This is not part of monitoring the results of an individual investigation, but it is an important part of your overall health and safety programme.

Case study

In this case study we examine an incident and work through the Incident Investigation Process.

Subject: Sam

- Sam is a man in his early 50s. He has worked as a general labourer/cleaner and a forklift driver in industrial and manufacturing businesses since leaving school at the age of 15.

Sam's work

- Sam has done many different labouring jobs over the years. He started out working in a small construction business, then in a series of manufacturing companies, making everything from paint to tin cans.
- His latest job is with a transport business – loading and unloading trucks and containers as well as steam cleaning trucks, tanks and containers that move in and out of the depot.
- He is a qualified forklift driver.
- Sam sometimes helps with the fumigation of grain silos, steam cleaning and degreasing tanks and containers, and cleaning out storerooms.

The incident

- Sam had been inside a container, steam cleaning it while spraying it with a degreaser called Conker, using the steam-cleaning unit as he usually did.
- His clothes had got wet but he had been wearing a cloth face mask.
- One day he started to feel really sick, with a headache and nausea. He went home, later in the day developing vomiting and diarrhoea.

The damage

- Sam was unwell over the next few days and stayed home for the rest of the week.
- He thought he had a bad flu. But then he received a call from a workmate, John, who had been doing his job for the week. He too was feeling unwell, complaining of headaches, nausea, vomiting and diarrhoea.
- Sam went to his doctor, who asked him which chemicals he used at work. He suspected that Sam was suffering from solvent neurotoxicity and notified WorkSafe New Zealand.
- On his return to work Sam decided to talk to his health and safety representative.

Culture management decisions and organisational processes	Culture management decisions and organisational processes	Tasks, actions and movements	The event	Post-event
<p>Health and safety not a priority.</p> <p>The fact that the material safety data sheet (MSDS) was locked away suggests that communications, training and information on health and safety issues were not seen as a priority.</p> <p>Employee participation was not encouraged.</p>	<p>Hazard management system absent or not effective.</p> <p>Training and supervision systems absent or not effective.</p> <p>No system to control or monitor exposure to solvents?</p>	<p>The repeated task of using solvents to clean out the containers.</p> <p>Entering an unventilated confined space without appropriate PPE.</p> <p>Use of other chemicals in a range of other tasks.</p>	<p>Short-term exposure to an organic solvent and frequent exposure to organic solvents and other chemicals over a longer time period.</p>	<p>Sam suffered acute symptoms of exposure to solvents and symptoms of solvent neurotoxicity.</p> <p>An investigation was completed.</p>

Formulas you might find useful

Accident frequency rate

This formula is useful for determining changes in the number of incidents you are experiencing in relation to the hours your staff are working.

The formula helps to remove the difficulty of gauging your performance by simply counting the number of incidents. For example, if your business has doubled in size during the past year but in the same time your incidents have increased by only 10% from the original count, you are making progress.

$$\frac{\text{Number of lost-time incidents and illnesses in a given time period} \times 100,000}{\text{Number of hours worked in that period}}$$

Average time lost

This formula measures the severity of injuries suffered in your workplace. It could be an indicator that you have a number of significant hazards that are not well controlled. It may also indicate that you are not emphasising return-to-work initiatives enough.

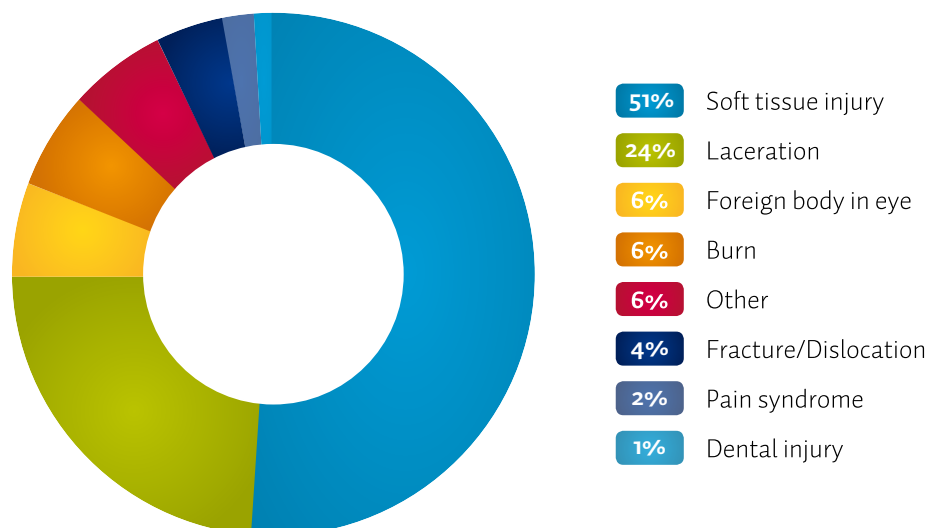
$$\frac{\text{Total number of days lost}}{\text{Number of occurrences in that period}}$$

Positive indicators

$$\frac{\text{Total number of meetings held}}{\text{Number of corrective actions implemented}}$$

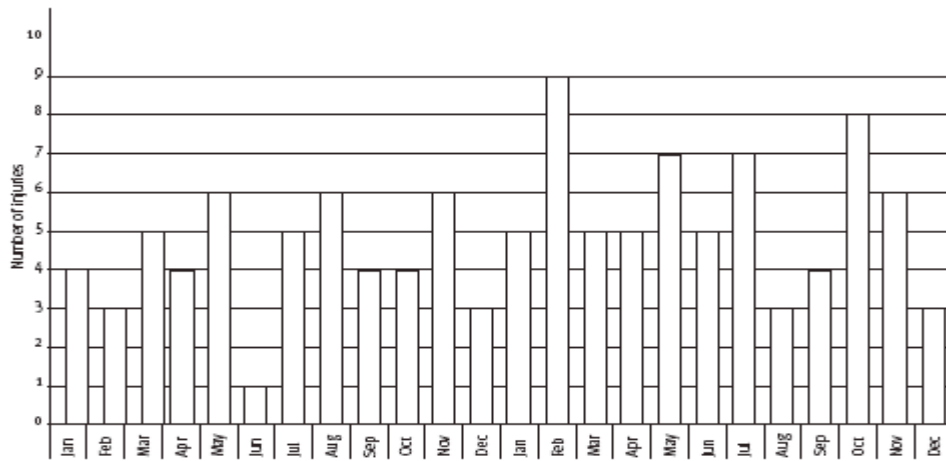
ABC Demonstration Ltd breakdown of injury type

JANUARY 2012 – JANUARY 2013



This graph shows a high incidence of soft tissue injuries, which are likely to be the result of manual handling hazards. It would be useful to look at past injury reports to see what caused these injuries and the tasks most affected. Think about the sort of manual handling action that might help reduce these injuries.

ABC Demonstration Ltd. Injury claims Jan 2012 to Jan 2013



This graph shows there were five months in which seven or more injuries happened. The question is, why? Were they times of increased production? Was new plant or equipment introduced? Were new procedures introduced? Did staff work longer hours?

The answers to these questions will help in the quest to reduce injuries.

Accident Investigation



Ministry of Business,
Innovation & Employment

Name of organisation: Branch/department:

PARTICULARS OF ACCIDENT

Date of accident M T W T F S S	Time	Location	Date reported
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THE INJURED PERSON

Name		Address		
Age	Phone number			
Date of accident		Length of employment — at plant on job		
TYPE OF INJURY:	<input type="checkbox"/> Bruising	<input type="checkbox"/> Dislocation	<input type="checkbox"/> Other (specify)	Injured part of body
<input type="checkbox"/> Strain/sprain	<input type="checkbox"/> Scratch/abrasion	<input type="checkbox"/> Internal		
<input type="checkbox"/> Fracture	<input type="checkbox"/> Amputation	<input type="checkbox"/> Foreign body	Remarks	
<input type="checkbox"/> Laceration/cut	<input type="checkbox"/> Burn scald	<input type="checkbox"/> Chemical reaction		

DAMAGED PROPERTY

Property/ material damaged	Nature of damage
	Object/substance inflicting damage

THE ACCIDENT

Description

Describe what happened (space overleaf for diagram — essential for all vehicle accidents)

.....

.....

.....

.....

.....

.....

Analysis

What were the causes of the accident?

.....

.....

.....

.....

.....

HOW BAD COULD IT HAVE BEEN? <input type="checkbox"/> Very serious <input type="checkbox"/> Serious <input type="checkbox"/> Minor	WHAT IS THE CHANCE OF IT HAPPENING AGAIN? <input type="checkbox"/> Minor <input type="checkbox"/> Occasional <input type="checkbox"/> Often
--	--

Prevention

What action has or will be taken to prevent a recurrence? Tick items already actioned	By whom	When
Use space overleaf if required		

TREATMENT AND INVESTIGATION OF ACCIDENT

Type of treatment given	Name of person giving first aid	Doctor/Hospital	
Accident investigated by	Date	WorkSafe advised YES / NO	Date

FORM OF REGISTER OR NOTIFICATION OF CIRCUMSTANCES OF ACCIDENT OR SERIOUS HARM



Required for section 25(1), (1A), (1B), and (3)(b) of the Health and Safety in Employment Act 1992. For non-injury accident, complete questions 1, 2, 3, 9, 10, 11, 14 and 15 as applicable.

1. Particulars of employer, self-employed person or principal: *(business name, postal address and telephone number)*

2. The person reporting is:

an employer a principal a self-employed person

3. Location of place of work:

(shop, shed, unit nos., floor, building, street nos. and names, locality/suburb, or details of vehicle, ship or aircraft)

4. Personal data of injured person:

Name:

Residential address:

Date of birth: DD / MM / YEAR Sex: (M/F)

5. Occupation or job title of injured person: *(employees and self-employed persons only)*

6. The injured person is:

an employer a contractor (self-employed person)

self other

7. Period of employment of injured person: *(employees only)*

1st week 1st month 1-6 months
 6 months-1 year 1-5 years Over 5 years
 non-employee

8. Treatment of injury:

None First aid only
 Doctor but no hospitalisation Hospitalisation

9. Time and date of accident/serious harm:

Time: (am/pm)

Date: DD / MM / YEAR

Shift: Day Afternoon Night

Hours worked since arrival at work:
(employees and self-employed persons only)

10. Mechanism of accident/ serious harm:

fall, trip or slip heat, radiation or energy
 hitting objects with part of the body
 biological factors sound or pressure
 chemicals or other substances mental stress
 being hit by moving objects body stressing

11. Agency of accident/ serious harm:

machinery or (mainly) fixed plant
 mobile plant or transport
 powered equipment, tool, or appliance
 non-powered handtool, appliance, or equipment
 chemical or chemical product
 material or substance
 environmental exposure (eg dust, gas)
 animal, human or biological agency
(other than bacteria or virus)
 bacteria or virus

WORKSAFE NEW ZEALAND

Email: seriousharm.notification@worksafe.govt.nz Fax: 09 984 4115
Phone: 0800 030 040 Post: PO Box 165, Wellington, 6140

New Zealand Government

12. Body part:

- head neck trunk upper limb
- lower limb multiple locations
- systemic internal organs

13. Nature of injury or disease:

(specify all)

- fatal
- fracture of spine
- other fracture
- dislocation
- sprain or strain
- head injury
- internal injury of trunk
- amputation, including eye
- open wound
- superficial injury
- bruising or crushing
- foreign body
- burns
- nerves or spinal chord
- puncture wound
- poisoning or toxic effects
- multiple injuries
- damage to artificial aid
- disease, nervous system
- disease, musculoskeletal system
- disease, skin
- disease, digestive system
- disease, infectious or parasitic
- disease, respiratory system
- disease, circulatory system
- tumour (malignant or benign)
- mental disorder

14. Where and how did the accident/serious harm happen?

(If not enough room attach separate sheet or sheets.)

15. If notification is from an employer:

(a) Has an investigation been carried out? yes no

(b) Was a significant hazard involved? yes no

Signature:

Date: DD / MM / YEAR

Name:
(capitals)

Position:
(capitals)

CRITICAL ELEMENT 5.

Incident and injury reporting, recording and investigation

(AS/NZS 4801:2001 Sections 3, 4.4 and 4.5)

Objective

The employer has an active reporting, recording and investigation system that ensures incidents and injuries are reported and recorded, and the appropriate investigation and corrective actions are taken. The terms incidents and injuries in this context include all ‘near miss’ or ‘near hit’ events, work-related illnesses and injury events that harmed or might have harmed any employee during the course of their work.

Details of requirements	Verified by	Achieved yes/no
1. There is a system for reporting, recording and analysing incidents, injuries and work-related illnesses.	1. Documented procedure.	P81
	2. Incident and injury (accident) reporting forms.	P95
	3. On-site incident and injury (accident) registers.	
	4. Procedures requiring early and prompt attention to all reported incidents and injuries.	P77
	5. Collation of all injury and incident data into a central record for analysis.	P90
2. Employees understand their specific responsibilities to report incidents, injuries and workplace illnesses that have or might have harmed anyone in the workplace.	1. Reporting systems available in all work areas (e.g. forms in hard copy or online).	
	2. Staff communications, team briefings, health and safety meeting minutes.	
	3. Examples of completed incident and injury reports (where applicable).	
3. When a serious harm occurs to an employee WorkSafe New Zealand is notified as soon as possible and a written report is sent within seven days. (NB: There are other agencies that the employer may also need to notify to meet regulatory obligations, in the event of a serious harm injury).	1. Procedure to notify WorkSafe New Zealand including documented responsibility for notification.	
	2. Example(s) of notification within required timeframe when a serious harm injury has occurred (where applicable).	

Details of requirements	Verified by	Achieved yes/no
4. The employer has a procedure to investigate incidents and injuries that harmed or might have harmed an employee.	1. Incident and injury investigation procedure.	P78–81
	2. Designated incident and injury (accident) investigators.	P95
	3. Incident and injury (accident) investigation forms (forms in hard copy or online).	
	4. Incident and injury (accident) investigation example reports (where applicable).	
5. There is a procedure to ensure corrective action is undertaken in relation to any deficiencies identified during an investigation.	1. Procedure for corrective action to be undertaken when deficiencies are identified in an investigation.	P88–90
	2. Feedback into hazard management included in the process.	P90
	3. Responsibility for corrective action is assigned, time-bound, signed and dated as part of an incident and injury investigation and includes training and injury prevention feedback (where applicable).	
	4. Evidence of senior management* involvement and follow-up (eg. management minutes or communications).	
6. Injury and incident data is reviewed to identify trends and provide information to managers and employees that can be used in injury prevention initiatives.	1. Process for at least annual review of collated data (e.g. minutes of meetings, distribution of findings to management and employees).	P89–90
	2. Evidence of at least six monthly review of collated data (e.g. minutes of meetings, distribution of findings to management and employees).	
	3. Evidence of injury prevention initiatives implemented where relevant (e.g. changes in work practices, specific training).	

* Refer to definitions on pages 138–141

Employee participation

Getting your employees involved in health and safety

Objective

You must ensure that your employees have the opportunity to be fully involved in developing safe workplace practices.

A place to start

The most successful health and safety management programmes encourage employees to be actively involved.

Because they encounter workplace hazards and problems every day, employees are well placed to make suggestions for improvement. If you involve them in identifying and solving problems, they are more likely to be committed to making the solutions work.

Create a forum for building communication between employees (and health and safety representatives) and management about health and safety matters

- Keep records of forum meetings (e.g. minutes of team briefings or health and safety committee meetings).
- Hold forums at least quarterly.

Your employees need to agree on how they will participate in health and safety management.

Make sure that you:

- Have a process they can use to elect their health and safety representatives
- Communicate the selection process to all your employees.

IN MORE DETAIL

Involving your employees

Good employment relationships based on cooperation and good-faith communication are the best foundation for workplace health and safety.

Good-faith communication requires you and your employees to be open and honest with each other and to understand that you all benefit from a safe and healthy working environment.

Being 'at the coal face', employees have valuable knowledge and experience to contribute to managing health and safety issues. It is in their interests to alert you to any actual or potential hazards they come across in their work and to provide suggestions for managing those hazards (see sample safety suggestion form on page 105).

Employee participation systems

Under the HSE Act you are required to provide reasonable opportunities for your employees to be involved in processes that improve health and safety at work. This requirement enables workplaces to develop their own processes for communication and cooperation on health and safety.

In some cases employers are specifically required to work with their employees and their representatives to develop systems for employee participation. These are workplaces where there are:

- 30 or more employees (whether at one site or at a number of sites)
- Fewer than 30 employees, but one employee or a union representing them asks for such a system.

Employers, employees and unions have to work together in good faith to agree on a system. This may include using internal or external advice, including independent mediators, to work through any issues.

If the parties cannot agree on a system within six months, the Act includes a default employee participation system. The six-month requirement starts from when:

- The employer first employs 30 employees
- An employee or representative asks for a system to be established.

The default employee participation system

For workplaces with 30 or more employees, you must hold an election for:

- At least one health and safety representative to act independently; or
- Up to five health and safety representatives to be members of your health and safety committee.

If you have a health and safety committee, at least half of the members must be health and safety representatives.

For workplaces with fewer than 30 employees – where a system has been requested – your employees, together with any union, must elect at least one health and safety representative.

Electing representatives

Work with your employees and, if applicable, their union(s) to decide how to elect health and safety representatives. If you are using the Act's default employee participation system, your employees must either:

- Together with their union(s), hold the election themselves for the number of representatives needed; or
- Ask you to hold the election.

If you are responsible for holding the election, you must do so within two months.

The election must:

- Involve candidates who work regularly enough to perform the job effectively and who are willing to be health and safety representatives
- Be held by secret ballot
- Give all affected employees a reasonable opportunity to vote
- Be determined by majority vote (whoever has the most votes).

No election is required:

- Where there is only one candidate – they automatically fill the position
- Where there are no candidates – the position is vacant.

The health and safety representatives' role

Health and safety representatives help their fellow employees by representing their views in their workplaces with employers on health and safety matters.

If you are using the default employee participation system, the health and safety representatives' duties include:

- Fostering positive health and safety management practices in the workplace
- Identifying hazards and informing you about them
- Discussing with you ways to manage any hazards
- Consulting inspectors on health and safety
- Promoting employees' interests in health and safety
- Promoting the interests of employees who have been injured or harmed at work
- Carrying out other agreed functions.

If you have agreed on an employee participation system with your employees and the union(s) representing them, the health and safety representatives can carry out the functions these parties want them to. These could include the above duties.

Health and safety representatives...

Who are appropriately trained, have the authority to issue hazard notices.

Providing leave for health and safety training

You are required to provide health and safety representatives with a certain number of days' leave each year to train in health and safety. The number of days depends on how many employees* you have on 1 April each year:

Employees* as at date in year	Maximum total number of days' paid leave that employer must allow for training
One to five	Two
6-50	Six
51-280	One day for every eight employees, or part of that number
281+	35 days plus five days for every 100 employees, or part of that number

* 'Employee' means a person who has worked for their employer for at least 180 hours in the previous 12-month period.

The HSE Act allows you to include in your employee participation system an increase in, or a limit to, the maximum number of days' paid leave for health and safety training.

You may agree on the training provider as part of the employee participation system. If not, you can provide your employees with a list of approved providers for them to choose from.

A successful health and safety committee

What is a health and safety committee?

A health and safety committee is made up of employer and employee representatives. Ideally it should have around five or six members, including a chairperson, so that everyone can contribute, and be an equal mix of employer and employee representatives.

The committee should meet at least quarterly, but more frequently if it is new or has many significant hazards with which to deal.

The committee's purpose is to improve health and safety conditions in the workplace by identifying potential health and safety problems and bringing them to your attention. For example, a committee could examine injury data for the previous six months and identify injury trends, then develop interventions to address them.

The committee could also look at innovations in other workplaces that may be suitable for yours, and promote health initiatives for your employees (such as an exercise programme for all staff).

There is no limit to what a health and safety committee can attempt or achieve.

Why have a health and safety committee?

As a forum for considering health and safety issues, a health and safety committee works to reduce employee injuries and improve employee health. It also provides an opportunity for people in the business to pool their skills and experience in tackling health and safety issues.

What does the committee do?

The work of a health and safety committee can vary, but its key role is to help stimulate awareness of safety issues and identify and control workplace hazards. This involves meeting, and conducting workplace inspections regularly.

The committee has four main focus areas:

- To identify potential hazards
- To assess them for significance
- To implement controls
- To follow up on implemented controls to ensure they are working.

Arranging health and safety committee meetings

In arranging a committee meeting:

- The meeting secretary should establish a date and circulate it at least a week before the meeting. It is a good idea to have a set date for meetings (e.g. the first Tuesday of the month)
- An agenda should be created for the meeting and circulated to everyone for input
- A person should be assigned to take minutes at the meeting. If there is no secretarial support available, committee members could share the responsibility.

A typical meeting

1. The chairperson welcomes people to the meeting, asks for apologies and checks that everyone has a copy of the agenda and any other required documents.

2. The committee reviews the minutes of the last meeting, going through each point and making sure that all issues have been resolved. If there are outstanding issues, the reason is recorded and a new date set for completion.
3. The chairperson introduces any new agenda item(s) and invites the person(s) responsible to talk to it.
4. The committee reviews near miss, property damage and injury data for the previous period. Members discuss investigation results and any recommendations for the future.
5. The committee considers new issues raised through inspections or staff suggestions and decides on its response.
6. The committee reviews educational material on site and health and safety training. Are all certificates up to date? Are there new courses, seminars or expos to attend?
7. The committee discusses any new legislation, regulations or guidelines that need to be incorporated into policies or work practices.
8. The committee checks whether any exceptional health and safety achievements by staff members need formal recognition.
9. The chairperson closes the meeting, thanks everyone for their attendance and confirms the next meeting date.

Sample safety suggestion form

Your employees are well placed to make suggestions for managing hazards they encounter. On the following page is a sample safety suggestion form that may help to encourage their contributions.

CRITICAL ELEMENT 6.

Employee participation in health and safety management

(AS/NZS 4801:2001 Section 4.4)

Objective

The employer will ensure that all employees have ongoing opportunities to be involved and to have their interests represented in the development, implementation and evaluation of safe workplace practices.

Details of requirements	Verified by	Achieved yes/no
1. There is a forum (or series of forums) to enable communication between the employer, employees and union and other nominated employee representatives* on issues of interest and concern related to health and safety. (For a large or multi-site employer the number of forums should be appropriate to the size, type and geographic spread of the business, so that all employees have a 'voice' through to management).	1. Evidence of health and safety forum(s) that include the participation of management and employee representatives (e.g. minutes of meetings).	P100–103
	2. Evidence of frequency of forum(s) at least quarterly (not applicable for new applications).	
	3. Evidence of ongoing opportunity for joint involvement in injury prevention initiatives and, where applicable, injury management initiatives (e.g. planning notes, outcomes of joint initiatives).	
	4. Evidence of consultative development, monitoring and review of health and safety policies, processes and performance at least annually (e.g. minutes of meetings, action plans, review documents).	
2. There is a process agreed to by employees, to support union* and other nominated employee representative* involvement in health and safety development, monitoring and review.	1. Process for health and safety management that specifically supports employee involvement.	
	2. Evidence of agreed process to elect or endorse union and other nominated employee representatives* to support health and safety.	
	3. Evidence that information on this process is readily available and communicated to all staff.	
3. Health and safety training is provided to employees actively involved in health and safety management to assist in the development and establishment of safe workplace practices.	1. Evidence that health and safety training has been undertaken within the last two years.	P99 and 103

* Refer to definitions on pages 138–141

Emergency readiness

Planning and readiness for emergencies

Objective

You must have an effective general emergency plan to manage all types of emergency likely to happen in any part of your workplace, and to comply with legislative requirements.

A place to start

When confronted with an emergency, it is too late to decide who needs to do what, what help is available and what emergency responses you need. You need to develop a plan before an emergency happens.

Have an emergency plan

- Identify the types of emergency likely to affect your business (including situations for employees working alone).
- Specify in your plan what has to be done for each type of emergency identified.

Communicate with and train employees in your emergency procedures

- Communicate with and train staff in emergency procedures, and reinforce them with written procedures, signs, etc.
- Keep records of training.

Train people properly to take charge in an emergency

- Train your emergency wardens.
- Make sure that the rest of your employees know who their emergency wardens are.

Practise your emergency evacuation procedures

- Have evacuation drills at least six-monthly.
- Keep records of these drills.

IN MORE DETAIL

Emergency management

Emergencies are any unplanned events that can have a significant effect on your business. They may involve physical and environmental damage, and injuries and harm to, and the deaths of, employees, visitors and members of the public. They may also involve events that disrupt your business operation, even shut it down.

What is an emergency?

Emergency events include:

- Fire
- Earthquakes
- Floods and storms
- Accidental release of hazardous materials
- Telecommunications failure
- Contamination of ground or waterways
- Crowd violence or armed robbery
- Explosion of waterways.

Managing emergencies

The process of preparing for, lessening the impacts of, responding to and recovering from an emergency is called 'emergency management'. It offers a number of benefits:

- It helps you to meet health and safety legislation and regulation requirements
- It helps you to meet your legal responsibilities to protect your employees, customers, neighbouring businesses and the environment
- Your business will be better able to recover from damage to plant and equipment, and insurance issues can be resolved ahead of time
- It improves your standing with employees.

Planning is a vital first step in emergency management, but to be effective it must be equally supported by:

- Training
- Practice drills
- Equipment testing by the appropriate provider(s)
- Community liaison where your emergency may become their emergency.

Senior management support for emergency readiness will also help to determine its success.

Emergency planning

The health and safety committee

Planning for emergencies should involve senior management, the health and safety committee and specialist advisors. You might consider inviting the Fire Service to call in to your premises for example, to discuss issues, or perhaps phoning them to discuss what specialist training they have available.

The health and safety committee must be seen to have the authority to develop an emergency plan, so consider appointing yourself or a senior manager as the team leader. This will both demonstrate management commitment and authorise the team in the eyes of others.

Planning for specific emergencies

Fire – evacuation schemes and procedures

Under the Fire Safety and Evacuation of Buildings Regulations 2006, New Zealand building owners are required to put in place either an 'evacuation procedure' or an 'evacuation scheme' to ensure the safety of all occupants when evacuating in a fire.

Procedures and schemes must cover:

- What to do if a fire is discovered
- What to do if the fire alarms sound or you are warned of a fire
- How to get out of the building in an emergency
- What the fire alarm signal is.

An evacuation scheme is more advanced than an evacuation procedure and must be approved by the New Zealand Fire Service.

Complete this quiz to determine whether you need an evacuation scheme or procedure.

All buildings		
Are hazardous substances stored?	No	Yes
Are early childcare facilities provided?	No	Yes
Is specialised care for people with a disability provided?	No	Yes
Is specialised nursing, medical or geriatric care provided?	No	Yes
Are people in lawful detention?	No	Yes
Can 100 or more people gather in a common venue?	No	Yes
Unsprinklered buildings		
Are there facilities for more than 10 employees?	No	Yes
Can 100 or more people gather for different purposes or activities?	No	Yes
Is accommodation provided for more than five people?	No	Yes

If you answered 'Yes' to any of the questions, you need an evacuation scheme.

If you did not answer 'Yes' to any of the questions, you can use an evacuation procedure.

Contact www.fire.org.nz for more information.

Hazardous substances

The accidental spillage or release of hazardous substances may necessitate the evacuation of your workplace and, where the potential for harm is significant, even your neighbouring community.

As well as identifying such emergencies in your workplace, you need to be aware of the potential for hazardous material emergencies off-site, for example if you are involved in the transportation of hazardous substances or if you use hazardous substances as part of your work. The spilling of hazardous substances onto the roadside or into waterways may result in severe environmental damage.

When developing your emergency plan, think about:

- Identifying and labelling all the hazardous materials you use and store, making sure that you follow any regulations and manufacturers' requirements

- Obtaining MSDSs from your suppliers for all hazardous materials on your site, and making sure that all users of hazardous substances read the MSDSs. These MSDSs must also be available to the Fire Service in the event of an emergency
- Training employees in the proper handling and storage of hazardous materials or assisting them to obtain the appropriate certification if required
- Developing a hazardous materials response procedure that covers not just on-site incidents but also a procedure for off-site incidents
- Identifying other organisations and places in your area that use or store hazardous materials and assessing whether incidents at these places could affect your operation. Are you next door to a petrol station or paint retailer, for example?
- Storing incompatible materials in different areas.

Contact www.epa.govt.nz for more information.

Flooding

Floods are a common natural disaster. While many floods develop over a couple of days, some floods can occur overnight as high-country streams drain into towns. Flooding is often worsened at high tide.

When developing your plan, think about:

- Finding out from your local council whether your workplace is located in an area prone to flooding. Is the drainage system able to cope with unexpected heavy falls of rain, for example? Find out about the history of any flooding in your area, from your neighbours if you have just moved in, and determine whether any nearby streams or rivers pose a threat to your site. They probably do!
- Establishing evacuation procedures for your site. Also develop a plan to clean up after the emergency. The Fire Service may be able to assist with draining the building, but you will also have to lift carpet and dry the building. Where will you get dehumidifiers from?
- Seeking advice from your insurance company on flood insurance. Do you have cover to protect wages and income in the event that your business is shut down for a period of days?

Contact www.civildefence.govt.nz for more information.

Earthquakes

As New Zealand sits on a fault line, earthquakes pose a real threat. While most cause only minor damage, more serious shakes can:

- Damage buildings and their contents
- Break gas, electricity and telephone lines
- Trigger tsunamis.

The most common danger for people in buildings is when things fall on them, like filing cabinets and items stacked on shelving.

When developing your plan, think about:

- Checking your site for any unsecured items that could fall, spill, break or move
- Determining how to manage these hazards:
 - Secure shelves, filing cabinets and tall furniture

- Secure fixed equipment and heavy machinery to the floor
- Install safety glass where breaking windows could injure employees or customers
- Training your drivers, if you have them, on what to do if they are travelling on the road and an earthquake strikes.

Contact www.civildefence.govt.nz for more information.

Severe winter conditions

Severe winter storms can mean ice, strong winds and snow, which can result in power failures and road closures.

When developing your plan, think about:

- Monitoring the local radio station for updates on the weather
- Establishing procedures for shutting down your workplace and sending employees home.
- Employees living in hill suburbs should leave early if there is a likelihood of roads being closed due to ice and snow. They should not return to work until the Police confirm the roads are usable
- Determining the whereabouts and safety of any employees who are travelling
- Having arrangements in place for any staff who may be stranded while on company business.

Contact www.metservice.com for the latest severe weather warnings.

Electricity and communication emergencies

These emergencies take the form of interruptions to, and loss of, support services such as electricity supplies and telecommunications. Most disruptions will probably be of only a few hours' duration.

When developing your plan, think about:

- Identifying all your workplace's critical operations, including those that would be disrupted by:
 - Electricity failures – lighting, heating, cash registers, automatic doors, cordless phones, computers, etc
 - Communication systems' failures – EFTPOS, phone, fax and data processing
- Assessing the impact on your business of the service disruption and developing strategies to deal with the situation. For example, if your EFTPOS system goes down, can you process transactions manually?
- Whether or not there are operations that will become unsafe if the power is cut to the site.

For example, is there machinery that, following a power interruption, will leave loads in an unsafe position? What procedures do you need to put in place for these situations?

Armed robbery

Longer working hours, and more and more people working on their own in situations where they handle cash, have made armed robbery a real threat.

To deter robbers you should seek advice from security specialists or the Police, but here are some simple steps to follow if confronted by a robber:

- Keep calm, and make no sudden movements
- Do what the offender says

- Try to memorise as many details about the offender as possible
- Note the direction and method of escape
- Notify the Police as soon as it is safe to do so. Leave the phone line open until the Police arrive
- Provide first aid to victims, and lock outside doors.

Contact www.police.govt.nz for more information.

Aggressive or threatening situations

People can be abusive in person and on the phone. If you tolerate this abuse you are, in effect, accepting this behaviour towards you and your employees.

Establish an acceptable standard of behaviour for others in their dealings with your employees.

Let your employees know that they do not have to tolerate:

- Unwelcome and offensive gestures
- Abusive and obscene language
- Racist and sexist comments
- Verbal and physical intimidation
- Verbal and written threats
- Sexual harassment
- Someone under the influence of drugs, alcohol or solvents
- Physical violence
- Defacing or destroying property
- Any behaviour of a similar type that makes them feel unsafe.

Let your employees know that they are allowed to remove themselves immediately from any such situation (or to end phone calls) and seek help from their managers or supervisors.

If someone becomes aggressive or threatening advise your employees to:

- Remain professional
- Keep your language unemotional
- Avoid sarcasm and cynicism
- Not use patronising and aggressive language.

Warn the person their behaviour is unacceptable (if you can do this without making the situation worse):

- Keep calm
- Advise them that you will stop the meeting/conversation
- Ask them to leave – or end the call.

Keep safe on the telephone:

- Do not tolerate verbal threats
- Do not tolerate abusive or obscene language
- End the call
- Get support and organise a debrief of the call in a safe and confidential room.

Keep safe at the meeting:

- Do not try to approach or restrain them
- Leave the reception area or meeting area immediately
- If you are unable to leave, raise the alarm
- Get support
- If there is a risk to other employees or customers, remove them from the area.

Report:

- Tell your manager immediately.

Record:

- Make a written record of the incident
- Make sure you report the incident.

Issuing trespass notices

Your workplace is private property. This means anyone can be required to leave your workplace if they threaten the safety of your employees or act in an unacceptable or threatening way.

Your first step is to ask the person to leave the premises. If they don't, or they return at a later time and you think their return is inappropriate, you can seek to issue a trespass notice under section 4(1), (2) and (4) of the Trespass Act 1980.

A trespass notice requires a person to stay off your premises for two years. If they return within this time, they face arrest by the Police and criminal charges.

How to issue a trespass notice

- Complete a 'Notice to stay off premises' (see sample on page 114), writing in the person's name, your premises' address and the date you are issuing the notice.
- Sign the notice as the person issuing it.
- Send the notice by registered mail to the person's home address. You can also deliver it by hand, but this may not be appropriate given the reasons for your issuing the notice.
- Make sure you keep a copy of the notice, and notes on why you issued it and when and how it was delivered.
- If the person breaks the trespass notice, call the Police.

Notice to stay off premises

To (person's name): _____

This is to advise that, in accordance with section 4 of the Trespass Act 1980, you are

warned to keep off [name of your premises] _____

This notice takes effect from the date you receive it and remains in force for a period of two years from that date.

If you fail to heed this notice and do re-enter these premises within that time, you will be committing an offence under the Trespass Act 1980.

Take notice that, if you enter and trespass on these premises within that period, you are liable to arrest and/or fine or imprisonment.

Notice date of issue: _____

Notice signed by: _____

[authorised to sign on behalf of occupier]

Notice served personally on: [date] _____

Signed [served by]: _____

Name [served by]: _____

Place [where served]: _____

Employer first aid requirements

If an emergency happens in your workplace, you need to be prepared to provide first aid to any employees or visitors who suffer injuries.

Workplace first aid kits

These are the suggested minimum kit contents:

- A manual giving general guidance on first aid, which you can buy at any bookshop or from a training provider
- 20 individually wrapped, sterile adhesive dressings (assorted sizes) appropriate to the type of work (dressings may be of a detectable type for food handlers)
- Two sterile eye pads
- Two individually wrapped triangular bandages (preferably sterile)
- Six safety pins
- Six medium-sized, individually wrapped, sterile, unmedicated wound dressings – approximately 12 x 12 centimetres
- Two large, individually wrapped, sterile, unmedicated wound dressings – approximately 18 x 18 centimetres
- One pair of disposable gloves
- One resuscitation mask.

This is a suggested contents list only; equivalent but different items are acceptable. You may also find you need items such as:

- Scissors
- Adhesive tape
- Disposable aprons
- Individually wrapped moist wipes
- Saline solution.

Store these in the first aid kit if there is room; if not, they can be stored separately as long as they are available for use as required.

Vehicle or lone worker's first aid kit

These are the suggested minimum contents:

- A leaflet giving general guidance on first aid, available from most training providers and bookshops
- Six individually wrapped, sterile, adhesive dressings (assorted sizes) appropriate to the type of work (dressings may be of a detectable type for food handlers)
- Two individually wrapped triangular bandages (preferably sterile)
- Two safety pins
- One large, individually wrapped, sterile, unmedicated wound dressing – approximately 18 x 18 centimetres

- Individually wrapped moist cleansing wipes (not alcohol-based)
- One pair of disposable gloves
- One resuscitation mask.

Again, equivalent but different items are acceptable. This kit can be carried in individual belt pouches by people working alone.

As with the workplace kit, you may find you need additional items such as:

- Scissors
- Adhesive tape
- Thermal blanket
- Additional individually wrapped, sterile, unmedicated wound dressings.

Stock the individual kit contents from back-up stock at the home site.

Assessing your first aid needs

As a minimum, you need to provide in your workplace (or each worksite):

- A suitably stocked first aid kit (see above)
- A person appointed to take charge of first aid arrangements
- Information for employees on first aid arrangements.

Use the checklist below to assess whether you need any additional resources.

1. What are the risks of injury arising from the work you identified in your risk assessment?

If the risks are significant, you may need to employ first aid staff.

2. Are there any significant risks e.g. working with:

- Hazardous substances?
- Dangerous tools?
- Dangerous machinery?

You need to consider:

- Specific training for first aiders
- Extra first aid equipment
- Precisely locating first aid kits
- Equipment
- Dangerous loads or animals
- Informing emergency services
- First aid room.

3. Can you identify parts of your workplace where the risks differ?

You will probably need to provide different resources in different parts of your workplace (e.g. in a university with a research establishment and laboratories).

4. Are large numbers of people employed on-site?

The more people you have on-site, the more likely you are to need to employ first aid staff to deal with the higher probability of an accident.

5. What is your record of incidents and injuries? What type are they and where did they happen?

You may need to:

- Locate your first aid staff and kits in certain areas
- Review the contents of the first aid kit to make sure they meet the pattern of needs.

6. Do you have inexperienced workers on-site, or employees with disabilities or special health problems?

Consider:

- Special equipment
- Locating equipment nearby.

7. Are the premises spread out (e.g. several buildings on the site or multi-floor buildings)?

Consider providing first aid resources in each building or on several floors.

8. Do people work shifts or out of hours?

You need to provide first aid resources whenever people are at work.

9. Is your workplace remote from or inaccessible to emergency or medical services?

- Inform local medical services of your location.
- Consider special arrangements with emergency services.

10. Do you have employees who travel a lot or work alone?

Consider:

- Issuing personal first aid kits and training your employees in their use
- Issuing employees with personal communicators e.g. walkie-talkies or cellphones.

11. Do any of your employees work at other employers' sites?

Make arrangements with the other site occupiers.

12. Do you have any work experience trainees?

Your first aid system must cover them.

13. Do members of the public visit your premises?

You have no legal responsibilities for non-employees, but WorkSafe New Zealand strongly recommends that you include them in your first aid system.

14. Do you have employees with reading, hearing or language difficulties?

Make special arrangements to give them first aid information.

Remember...

First-aiders take leave and are often absent for other reasons. Make sure you have enough people trained to cover these absences so there are first aid staff available whenever people are at work.

Contact www.business.govt.nz/worksafe for more information.

CRITICAL ELEMENT 7.

Emergency planning and readiness

(AS/NZS 4801:2001 Section 4.4)

Objective

The employer has an effective general emergency plan to manage emergencies likely to occur within any part of the organisation’s operation and to comply with legislative requirements.

Details of requirements	Verified by	Achieved yes/no
1. There is a documented emergency plan that identifies potential emergency situations and meets relevant emergency service requirements.	1. Evidence of identification of the range of potential emergency situations in the workplace that considers the type and location of the employer (e.g. chemical spills, earthquakes, management of emergency situations for employees working alone).	P107
	2. Evidence of consideration of emergency service requirements.	P108
	3. An emergency plan that includes the response required for the relevant identified emergency situations.	
2. Emergency procedures have been implemented and communicated with all employees and contract staff.	1. Evidence that the emergency procedures have been implemented and communicated (e.g. signage, communications, training).	P107
3. Designated employee/s or warden/s for each work area trained to take control in an emergency.	1. List of designated employees known to all staff.	
	2. Training schedules and records.	
	3. Evidence that review or refresher emergency training has been undertaken with designated employees within the previous year.	
	4. Evidence of specific emergency training for designated staff according to identified potential emergencies in the workplace (eg. civil defence emergency training, advanced first aid certificates).	
4. There is periodic testing of emergency evacuation procedures at regular intervals – of no greater than six months apart.	1. Record of emergency evacuation drills.	
5. There is a consultative review of emergency response procedures, after any practice drills and after any actual emergency event.	1. Minutes of review meetings, particularly post critical event.	
	2. Evidence of update to procedures and plans (where applicable).	

Contractor management

Ensuring safety during on-site work undertaken by contractors and subcontractors

Objective

When you contract another company to provide you with services, you become the principal.

As the principal you must have a system to make sure that the contractors, the subcontractors and their employees do not cause harm to your employees or themselves, or anyone else, while undertaking the work required by the contract.

A place to start

Contractors working on-site can often disrupt normal work patterns and create hazards, not only for their employees but also for your employees. You need to take special precautions to protect your – and the contractors' – employees.

Develop an on-site health and safety induction procedure for all contractors.

- Have induction procedures that cover all contracted staff, including one-off maintenance contractors (or similar).
- Keep records signed by you (the principal) and the contractors, confirming induction has been completed.
- Decide who is going to coordinate health and safety induction for contractors.

IN MORE DETAIL

Managing contractors

You need to take precautions to protect your employees and contractors and subcontractors.

This means:

- Making sure that contractors are formally qualified to do the work
- Once they arrive at your workplace to start work, taking them through an induction process so they know about the site hazards and your safe work procedures
- Asking contractors to tell you about any hazards they are bringing into your workplace or may create while they are there.

Contractors and subcontractors also have responsibilities to their own employees or, if an individual, as a self-employed person.

Different contractors, different needs

Different types of contractor may come into your workplace, such as:

- Contractors you use for a specific purpose e.g. for a capital installation/refurbishment project where a large number of contractors are on-site for an intensive period of time
- Irregular, short-term contractors such as plumbers/electricians for 'as-required' repairs
- Contractors with whom you have long-term relationships, who visit from time to time to maintain and repair equipment e.g. plumbers, electricians, computer technicians
- Trucking companies and couriers who require regular access to specific areas.

You may need a range of systems to deal with different contractors and projects. For example:

- A courier who comes into the public foyer to collect a mailbag or package will not require induction
- A plumber visiting to unblock a drain, a technician to repair a computer, and couriers and drivers making pick-ups from the work area itself will require induction (you may do this simply by talking to them)
- Contractors for a major building alteration will need a much more detailed and formalised induction process.

The key things for you to consider...

- To what hazards will the contractors be exposed on your site?
- What hazards will they bring into your site?

How to protect contractors

On-site induction

All contractors – even those who have worked with your business for years – should go through an induction process that covers the hazards to which they will be exposed at your workplace. It should include agreed safe work practices designed to control these hazards.

You also need to establish how the contractors will carry out their work and the safe work practices they will use.

The health and safety induction will depend on the size of your workplace, the nature of the work and the risks the contractors will face. If your workplace is small you may be able to oversee their workers directly. If your workplace is larger you will need an extensive health and safety management process.

Make sure all the contractors' employees are covered by the induction training. See page 127 for a sample contractor induction checklist.

Knowledge and skills

Make sure that contractors and their employees have the knowledge and skills to undertake the jobs safely. This could include looking for a well established firm/person and asking for references from previous clients.

Have a procedure to ensure that contractors hold the required certificates and permits to undertake the work safely. For a larger job, such as a building alteration, ask the prospective contractor to provide you with a plan of how they intend to manage their health and safety for the proposed work.

Share information

Share information about the work and the areas where it is to be done. Make sure that contractors know about hazards in your workplace that may affect them or their employees – and that you know what hazards the contractors are bringing into or creating on your site.

Explain that your workplace has rules that the contractors will be required to follow and methods for reporting hazards and incidents/injuries. Consider restricted areas, required safety equipment and providing for the safety of other people who may be affected, including the public.

Ask the contractors to let you know about any work permit procedures and any work that needs to be notified to Worksafe New Zealand.

Safety management performance

Develop criteria for selecting contractors based on your expectations of their health and safety performance. Include, among other things, the training of their staff and write these health and safety responsibilities and expectations into contracts.

Regularly review contractors' health and safety performance through inspections, by investigating incidents and injuries and through formal review meetings. See page 128 for a sample checklist for monitoring contractor health and safety.

At the completion of the contract, evaluate the contractors' health and safety performance and refer to these reviews when you next engage the contractors. See page 129 for a sample health and safety review form.

Health and safety for principals

A **principal** is any person who contracts someone to do a job (other than work in their own home).

Principals' responsibilities

The HSE Act requires principals to take 'all practicable steps' to ensure that no contractor or subcontractor, including their employees, is harmed while doing any work they have engaged them to do.

Things to consider

When engaging a contractor to work for you, make sure that:

- They are competent and safe
- You provide them with information about their health and safety while working
- You monitor their health and safety performance while working
- You coordinate their activities
- You record and report accidents and incidents of serious harm.

Contracts and responsibilities

You cannot waive your health and safety obligations under the HSE Act by using exclusion clauses in your contracts.

Your contracts should clearly explain health and safety responsibilities. For example, you should specify who will have primary responsibility for hazard identification and the standards that should be met.

Information you must provide for contractors

Make your contractors aware of any potential hazards involved in the work or the place of work, as well as other health and safety management requirements. In turn, your contractors should notify you of any significant hazards arising from their work.

The information you share could include:

- Procedures for reporting hazards in the workplace, or that result from the work being done
- Methods for reporting accidents and incidents
- Responsibilities for notifying WorkSafe New Zealand of any serious harm incidents
- Information about the workplace or procedures, such as known hazards, emergency procedures and where to find first aid facilities.

Monitoring contractors' and subcontractors' work

You are expected to monitor contractors' compliance with health and safety requirements while they are working. This does not mean you have to check for hazards constantly, but you must at least bring any unsafe work practices or conditions to your contractors' attention. Note that, even if you have not directly engaged a subcontractor, you have some duties towards them while they are working at your site.

When contractors don't comply with health and safety standards

Contractors are responsible for dealing with their employees' discipline and training. However, you should ensure that contracts allow you to take action if contractors or their employees do not meet specified health and safety standards.

Accidents while on the job

If a contractor has an accident and it harms them, or if their work injures someone else, they must keep a record of it. They also need to tell WorkSafe New Zealand quickly about any serious harm that happens. Note that as the principal you need to report this incident to WorkSafe New Zealand as well.

Health and safety for people who 'control a place of work'

People who control a place of work are those who:

- Own, lease, sublease, occupy or possess a place of work or part of it; and/or
- Own, lease, sublease or possess any plant or equipment in a place of work.

People who control a place of work include, for example, dairy owners, lawnmower contractors who trim the roadside, and self-employed people who work in rented offices.

The term 'control' in the HSE Act does not require active or actual control.

The responsibilities of a person who controls a place of work

The duties of those who control places of work depend on the people who are in and around the workplaces.

For example, a person who controls a place of work:

- Must take all practicable steps to ensure that no hazard harms people in the vicinity. For example, a lawnmowing contractor must ensure that stones flying out from under the lawnmower do not injure others working nearby or members of the public
- Has a duty to customers and people who pay to be in the workplace. For example, a dairy owner must ensure that people who enter the dairy to buy goods are not harmed.
- Has a duty to authorised visitors to the workplace and certain statutory officers. These duties include warning visitors about significant and unusual hazards that result from work being done in the place. For example, if an employer authorises their employees' friends to join the office for a social occasion, and construction work is being carried out in part of the office, the employer must warn the visitors of the hazards.

Other obligations

It is possible to be both a person who controls a place of work and a principal, a self-employed person or an employer. If this is the case, you must comply with the HSE Act's obligations for both groups – you cannot choose to comply with the duties and responsibilities of only one or the other.

However, the obligations for both groups will often be the same: to take all practicable steps to keep the workplace safe.

Where more than one person controls a place of work

On a construction site, for example, the owner of the building, the construction company and the contractors who work for the construction company may all be people who control that place of work.

The fact that a number of people have the same duties under the Act does not lessen each person's obligation to comply fully with those duties. However, the duties of each person will vary depending on how much effective control they exercise over the workplace.

Before engaging a contractor

Before entering a contract with a contractor, have them complete a health and safety pre-employment survey (see example on page 124). This will give you an overview of their commitment and performance record in health and safety.

Ongoing monitoring of contractor performance

While the contractor is working on your site, monitor regularly that their performance is meeting your health and safety requirements. A template to use is on page 128.

Contract completion

Once the contractor has completed the work, evaluate their overall performance. The results will help you decide whether to engage them again. A template to use is on page 129.

Pre-employment survey for contractors

Contractor:

Address:

Occupation/Activity:

How many employees do you have?

Who is responsible for health and safety in your business?

Who will be responsible for your business's health and safety performance on this contract?

What are their qualifications/experience?

Has WorkSafe New Zealand ever served you with an improvement notice?

Yes No

If yes, please provide details:

Have you ever been prosecuted for breaches of the Health and Safety in Employment Act 1992?

Yes No

If yes, please provide details:

Health and safety performance – Contractor's commitment to health and safety

A business's management has significant responsibilities and duties for the health and safety of its employees and others.

Do you have a written health and safety policy statement or statement of intent?

Yes No

If yes, please attach a copy

Are health and safety management responsibilities clearly defined?

Yes No

Do you regularly review your health and safety performance?

Yes No

How do you review your performance?

When was your last review?

Managing health and safety hazards

You must have a systematic method of identifying and controlling all hazards, both actual and potential. As a minimum requirement you must have a list of all plant, chemicals and processes that you will use for this contract.

Have you identified hazards?

Yes No

Have you determined how you will control each hazard?

Yes No

Do you regularly assess your hazards?

Yes No

Have you informed all your employees about the hazards and controls?

Yes No

Please attach a copy of your hazard identification records e.g. hazard register relating to this contract

Pre-employment survey for contractors *continued ...***Training and supervision**

You are required to make sure that your employees are trained and/or supervised well enough so that they can carry out their work safely. This includes ongoing training and supervision as hazards are identified and reviewed.

Can you provide evidence that you have provided training or that you have the necessary experience? Yes No

Where employees are not trained, are they supervised by an experienced worker? Yes No

Have you trained all your employees in the use of safety equipment, plant and chemicals? Yes No

Have you developed a training plan to respond to identified hazards? Yes No

Please attach a copy of the training plan and evidence of training

Accidents

You are required to keep a register of all accidents and near misses. Any accidents causing serious harm must be reported to WorkSafe New Zealand.

Do you keep a register of all accidents, near misses and serious harm? Yes No

Do you have a procedure in place to investigate accidents? Yes No

Please attach a copy of your procedures for investigating accidents and reporting serious harm Yes No

Does senior management review the results of accident investigations? Yes No

Emergencies

You are required to manage all likely emergency situations.

Do you have a plan and procedures for any likely emergencies? Yes No

Does your plan give specific responsibilities to specific employees? Yes No

Have you provided training to employees with these responsibilities? Yes No

Please attach a copy of your emergency plan

Subcontractors

You are required to set health and safety standards for any subcontractors you engage.

Have you supplied subcontractors with health and safety standards? Yes No

Please attach a copy of your standards Yes No

Do you monitor whether your subcontractors are meeting the standard requirements? Yes No

Please attach copies of any assessments you carry out

References

Please attach references about your health and safety performance from the past three contracts you have completed. If this pre-employment survey is approved, you need to inform us of any changes in your business circumstances and operations that could affect your health and safety performance.

Name:

Signature:

Date:

Position:

Contractor's acknowledgement of health and safety obligations

The Principal (person or organisation engaging the contractor)

Name:

Address:

The Contractor (person or organisation being engaged to perform services)

Name:

Address:

Description of service (to be performed by the Contractor)

The Contractor hereby acknowledges that:

1. They understand their obligations to themselves, their subcontractors and their employees under the Health and Safety in Employment Act 1992, and confirm their intention to comply at all times while working on this contract.
2. They recognise that the Principal can be responsible only for advising the nature of, and methods of controlling, hazards specific to the Principal's business or worksite and that the Contractor shall apply best industry practice to ensure the safety of all involved at all times.
3. The Principal has advised the Contractor of the emergency procedures, location of emergency equipment, location and use of safety equipment, basic safety rules, hazards and hazard controls, go and no-go areas and access and authorisation requirements relevant to the service being performed.
4. The Contractor shall ensure that all their subcontractors and employees are informed of the same and that no person shall be permitted to work on the contract without being so informed.
5. The Contractor has a health and safety management system in place, which ensures their compliance with the Health and Safety in Employment Act 1992 in connection with this contract.
6. The Contractor agrees to make available for inspection on demand by the Principal any documentation related to health and safety in connection with this contract.
7. The Principal has the right to monitor the Contractor's activities and carry out a safety audit from time to time during the progress of the contract.
8. The Principal has the right to suspend work at the Contractor's expense where the Principal is not satisfied that all practicable steps are being taken to ensure the health and safety of employees and others in connection with the contract.
9. The Contractor will advise the Principal immediately of any accidents, including those in which serious harm is caused or a significant hazard is involved, and meet the requirements of the Health and Safety in Employment Act 1992 in reporting serious harm accidents to WorkSafe New Zealand.
10. The Contractor will advise the Principal immediately of any new hazard created during the contract and will take all practicable steps to avoid harm being caused to any person as a result of such hazards.
11. Before beginning work on the contract, the Contractor will carry out a systematic identification of hazards likely to be encountered and will develop controls for all those identified as being significant hazards.

Signed for and on behalf of the Contractor

Full name:

Signature:

Date:

Signed for and on behalf of the company (Principal)

Full name:

Signature:

Date:

Contractor induction checklist

Contractor name(s):

Company name

Training by:

Date:

Who is responsible for health and safety in your business?

Contact details:

Workplace introduction

This workplace

I have been introduced to:

- Key personnel and contact person for this site (if appropriate) Yes No
- Key jobs, tasks and responsibilities Yes No
- Work areas, toilets, eating and drinking facilities Yes No

Employment conditions

- Work times and meal breaks Yes No
- How to use and maintain personal protective equipment for this job Yes No

Health and safety

Health and safety

I have been shown

- The health and safety policy Yes No
- How to do the job safely, including the use of guards Yes No
- The safety signs and what they mean Yes No

I know

- My responsibilities as a contractor Yes No

Hazards

I know

- The hazards and the controls for these in this workplace Yes No
- That I must advise of any hazards that I bring to this workplace Yes No
- How to report hazards and where the reports are kept Yes No
- Safe work procedures Yes No

Emergencies

I have been shown

- The emergency exits Yes No
- The fire extinguishers and their locations Yes No
- The evacuation procedure Yes No
- The assembly area Yes No

Incidents and injuries

I know

- How to report incidents and accidents Yes No
- How to report near hits/near misses Yes No
- Where accident forms are kept Yes No

Outline your safety rules for contractors – give contractor hard copy

Contractor's signature:

Date:

Checklist for monitoring contractor health and safety

Contractor:	Contractor ID/No:		
Contract or purchase order:	Ordering branch/office:		
Type of work:	Site of work:		
Did you have to supply a contractor safety plan for this job? <input type="radio"/> Yes <input type="radio"/> No			
If yes, has the contractor met the plan requirements? <input type="radio"/> Yes <input type="radio"/> No			
Contractor performance	Yes	No	N/A
Is the work area well defined?			
Have on-site hazards been identified?			
Has the contractor eliminated, isolated or minimised hazards?			
Does the plant appear to be in good condition?			
• If required, is it guarded?			
• Does it have current electrical safety tags?			
Generally, does the site appear tidy and safe?			
Are workers taking proper precautions?			
Is the safety equipment being used suitable for the tasks?			
Is the safety equipment being used or worn?			
Is there a properly stocked first aid kit?			
Is someone on-site trained in first aid?			
Are materials stored or stacked safely?			
Have appropriate warning signs, notices and barriers been used?			
Have emergency procedures and instructions been communicated?			
Is the contractor using safe working practices?			
Are there any issues with the subcontractors?			
Do the contractor and their employees quickly correct any faults?			
General comments about performance:			
Have you received any incident/accident reports from the contractor?			
If yes, what corrective action did they take?			
Are there areas where the contractor's health and safety performance has not been satisfactory? If yes, explain			
Notification of hazard advice issued <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> NA			Date:
Unsafe condition fixed <input type="radio"/> Yes <input type="radio"/> No			Date:
Overall rating for contractor's health and safety performance: <input type="radio"/> Excellent <input type="radio"/> Good <input type="radio"/> Satisfactory <input type="radio"/> Unsatisfactory <input type="radio"/> Poor			
Reviewer	Date	Time	
Signature			

Sample health and safety review document

Contractor:		
Contract description:		
Date contract started:		Date contract finished:
Reviewed by:		Date:
The contractor	Yes	No
Were there any health and safety problems? If yes, briefly describe		
Did you need to take action? If yes, briefly explain:		
Would you accept them back on-site again?		
Did you have to pull them up on anything? If yes, briefly explain:		
Was their housekeeping in order? Comments		
The job	Yes	No
How was the planning – was the hazard identification adequate? Comments:		
Has the work been done as agreed, for example as in the contract or in accordance with a safety method statement? Comments:		
Has any necessary testing been done, checked and recorded? Comments:		
Were all permits to work signed off? Comments:		

CRITICAL ELEMENT 8.

Protection of employees from on-site work undertaken by contractors and sub-contractors

(AS/NZS 4801:2001 Section 4.4)

Objective

The employer has a systematic approach to ensure that contractors, subcontractors and their employees do not cause harm to the employees of the principal while undertaking the work required by the contract.

(NB: There are other specific duties required of the employer as a result of the health and safety in employment legislation that are not part of this programme’s requirements.)

Details of requirements	Verified by	Achieved yes/no
1. Induction to on-site health and safety procedures is co-ordinated by a designated person/s for all contracted staff, including one-off maintenance contractors or similar.	1. Process for the induction of contractors and their staff, according to their level of involvement with employees in the workplace, and including sign-off by employer and contractor or subcontractor.	P119–125
	2. Designated person(s) to co-ordinate health and safety induction for contractors.	
	3. Evidence of completed contractor induction (where applicable).	
2. Criteria to select and manage contractors include assessment of health and safety performance.	1. Documented procedures (e.g. selection checklist or similar).	P124–125
	2. Contractor plans include: <ul style="list-style-type: none"> • Staff training and competencies • Current certification and permits • Declaration of the above signed by contractor. 	
3. Health and safety expectations and responsibilities are written into contracts.	1. Evidence that health and safety responsibilities are written into contracts (e.g. procedures, signed contracts).	P126
4. There is a process to actively monitor the health and safety performance of the contractor at agreed regular intervals for the duration of the contract where relevant. (NB: Only applies to contract work undertaken on a site where there are employees of the principal present).	1. Evidence of review of worksite health and safety performance including dates and responsibilities.	P128
	2. Evidence of feedback from the contractor into hazard identification and incident and injury reporting (where applicable).	
5. Post-contract evaluations include health and safety as part of the evaluation.	1. Process for post-contract evaluation.	P129
	2. Evidence of completed post-contract evaluations (where applicable).	

Return to work

Helping employees return to their normal jobs

Objective

Research findings suggest that an injury may cost you between 8% and 15% of your payroll.

You and your employees will benefit if you have a system to help injured employees make the transition back to work.

A place to start

Returning an injured employee to the workplace involves four key tasks:

1. Contact your employee

Do this as soon as possible, and keep in contact. Reassure your employee that they have a job to come back to, and that you will be there to support them during their rehabilitation.

2. Understand your employee's job

With your employee, write down what they do as a job and what other jobs they could do while they are recovering – for example, driving trucks for three hours or operating a forklift for 7.5 hours a day.

3. Inform the employee's treatment provider

Give the employee's job description to their treatment provider to help them make an informed decision on whether your employee can do their normal job.

4. Keep open communication

You can ask your employee to give you permission (in writing) to talk to their treatment provider about the jobs available and your employee's ability to do them. Involve your employee wherever possible and, with them, develop an action plan for their return to work.

[IN MORE DETAIL](#)

The return to work process

For injured people, a safe and productive work environment features:

- A positive attitude towards their injury treatment (whether or not it occurred at work)
- Good communication with their employer.

Injuries are costly for both employees and employers – but, by being proactive, you can eliminate downtime from minor injuries and stop minor injuries becoming serious and long term.

Encouraging your employees to report injuries and seek treatment quickly will reduce claims, maintain your productivity and keep them at work. Supporting your injured employees as they return to work will stop problems arising.

Good reasons for encouraging return to work at your workplace

- It improves the culture and cooperation in your workplace.
- It demonstrates that you are a supportive employer.
- It helps retain your employees.
- It reduces lost work time.
- It reduces the costs of recruitment and training.
- It reduces the costs associated with long-term disability.
- It provides a consistent approach to managing workplace absence (whether an injury happens at work or away from work, or is an illness).

Principles of return to work

There are some key principles in helping an injured employee to return to work.

1. Focus on a goal

An effective return-to-work plan aims to help the employee to return to their normal duties and hours. The plan should:

- Have clear goals and state them early
- Detail the actions needed to achieve the goals
- Detail the date by which the goals will be achieved.

There are two tools available to do this:

- A Return to Work Plan, developed by the case owner and you and/or treatment providers, with the injured person. A Return to Work Plan can be initiated at any time and is not bound by legislation
- An Individual Rehabilitation Plan (IRP), developed and negotiated between the ACC case manager, the injured employee, you and the treatment provider. An IRP is a legislative requirement and is legally binding.

2. Joint responsibility, development and commitment

A successful return to work must involve:

- The injured person
- You as their employer
- The injured persons treatment provider(s)
- The ACC representative.

A union representative (health and safety representative) can also participate if requested.

Everyone involved should jointly develop and agree to the employee's particular plan.

3. Active participation of the injured employee

Encourage the injured employee to take responsibility for their own rehabilitation. This gives them a sense of ownership and requires them to commit to their Return to Work Plan/IRP goal.

4. Timely and early intervention

A successful return to work needs focused early intervention and timely ongoing communication and consultation among everyone involved. In this way everyone can support and participate in the return-to-work planning and implementation.

5. Rehabilitative focus

Return to work is about rehabilitation. Keep this at the front of your mind when planning for your employee's return to the workplace.

Each plan should be developed as part of an overall rehabilitation (social and vocational) management plan for the injured employee. ACC has access to qualified rehabilitation assessors for expertise and advice in this area.

6. Functional abilities

In planning a return to work, focus on what the employee can do, not what they cannot do. The treatment provider can give a medical perspective on their abilities as well as their limitations.

The Return to Work Plan/IRP must always relate to the injured employee's capacity, to avoid aggravating their injury. The employee must be able to perform their duties safely, without risk of further injury to themselves or others.

Everyone involved needs to understand the components of the job as this helps with completing an effective Return to Work Plan/IRP.

7. Cultural needs

It is important for you, the treatment provider(s) and case manager to consider your employee's cultural needs when developing and supporting the implementation of their Return to Work Plan/IRP.

Consider:

- Acknowledging the role of the employee's broader family/ whānau and environmental factors
- Their belief systems and drivers (family reliance and mana)
- Existing support mechanisms e.g. whānau, kaumatua, mentors, peers and Māori and other specialist service providers who may be able to work with you and help in the return-to-work process.

Establishing communication

Establish communication with your employee as quickly as possible to maintain their work routine and discuss their return-to-work options. It is important to cover:

- Your employee's concerns about job security and the demands awaiting their return
- Workplace issues and changes
- Different methods of returning to work
- Issues of getting to and from work.

If they have been prescribed time off work, assign someone to keep in contact with them – and ask co-workers to keep in touch as they normally would. Invite the employee to staff training, meetings, morning teas and social events, and let them know that their work is valued and you are looking forward to their return.

Job analysis

Job analysis is an important part of helping your employee to return to work. It gives a clear description of the demands of their job and can help you and your employee to determine suitable duties.

A job analysis involves:

- Investigating the demands of the job e.g. what weights are lifted, how are they lifted, how often
- Investigating the environment in which the job is done
- Identifying the level of productivity.

ACC can help in this with its work type detail sheets, which describe generic work types and provide basic examples of their possible demands. Your knowledge and understanding of the job are fundamental in completing a job analysis.

The role of injury information and medical certificates

Medical treatment and management

When an employee reports an injury, make sure that they get appropriate medical treatment and management e.g. first aid on-site and/or a visit to a treatment provider or the accident and emergency department of a hospital.

If the employee sees a treatment provider for their injury, ask them how they got on. You are entitled to information that relates to their ability to do their job, and this will help you to plan a safe and durable return to work.

Where possible:

- Find out the diagnosis of the injury or condition
- Find out the type and frequency of treatment prescribed (e.g. physiotherapy, medication)
- Get advice on work tasks and hours, activities and pain relief.

Discuss the treatment plan with your employee and, if possible, their treatment provider. This way you can check that you both have the same information and understand the implications for the workplace.

You may need to consider alternative work options ('suitable duties') as part of the Return to Work Plan. In doing so, consider the answers to these five questions:

1. Is there anything about this injury that prevents your employee travelling to their usual place of employment?
2. Is there anything about this injury that prevents your employee being at their usual place of employment for full normal hours?
3. Is there anything about this injury that prevents your employee performing their usual duties for some of the time?
4. Is there anything about this injury that prevents your employee performing their usual duties for full normal hours?
5. Does the injury cause any safety problems?

One option is to ask your injured employee if you can attend an appointment with them and their treatment provider, so that you can provide on-the-spot information on potential suitable duties. (If you have a job analysis, take it with you.) This will reassure the treatment provider and your employee that their return to work will be safe and durable.

Alternatively, you could send a letter to the treatment provider (signed by you and the employee) outlining your queries.

Recovery options

A treatment provider or medical specialist will be able to give you and your employee an idea of the extent of recovery expected, and how long it is likely to take. Remember, employees recover fully from most workplace injuries.

If your employee does not recover as expected, everyone involved should discuss their short-term and long-term options, including the barriers to their recovery. Your options include:

- Obtaining advice from an appropriate medical specialist
- Using a different approach as recommended by medical specialists or a case manager
- Extending the timeframe for your employee's expected recovery where there are medical complications
- Exploring other jobs or tasks they could do in the workplace.

Medical certificates

Every injured employee needing time off work requires a medical certificate from a medical practitioner. The practitioner records their capacity details on one of two forms:

- If this is their first visit, the ACC 45 Injury Claim Form, which provides ACC with the information required to lodge a claim. When completed by a treatment provider, it can include certification for the first 14 days off work (if required)
- If an ACC 45 has already been lodged, the ACC 18 Medical Certificate, which describes how the employee's injury affects their functional capacity and other needs they may have.

The medical certificate is an important document in implementing appropriate return-to-work strategies. It also allows for appropriate treatment guidelines and suitable rehabilitation.

Planning for return to work

If an employee is off work with their injury, everyone involved should meet as soon as possible to discuss a Return to Work Plan and set a review date. You should also do this when your employee is doing 'suitable duties' for more than seven calendar days. If you need help getting started, contact ACC for a basic Return to Work Plan template.

Either you or a supervisor should arrange this meeting (face to face or by phone) to discuss what is needed for your employee to return to work. (Remember, this could mean modified work tasks or a graduated return.) Assign tasks, and state in the plan when they will be done. Keep a written record of all actions.

Be flexible when planning your employee's return to work; you may experience ups and downs along the way.

Offer suitable work

Your injured employee may be able to continue working if you can provide them with suitable work.

If their treatment provider prescribes that they are 'fit for selected duties', your employee can do work that matches their restrictions or capabilities – as documented in the medical certificate.

If you are unsure, ask your employee to check with their treatment provider, or get their written permission to talk to their provider yourself. It will help if you understand the demands of the potentially suitable work you have available. For example, what weights are lifted, how are they lifted and how often?

What we mean by...

Suitable duties are provided on the understanding that they are not permanent and the employee will return to their full duties. Other terms commonly used include reduced, transitional and light duties.

Suitable duties include:

- Alternative duties, which are different in the same or another area of the business altogether
- Modified duties which are duties that have had components removed or included to match the employee's capacity e.g. increasing the number of different duties so that the injured employee changes position regularly, or having another person complete the lifting part of the employee's task
- The same job but reduced hours
- An alternative job and reduced hours.

Suitable duties do not include work that is:

- Not useful for your trade or business
- Demeaning to the employee or has no employment prospects.

A **graduated return to work** could mean gradually increasing the hours of work each day, or completing normal hours of work but progressing from modified or alternative duties to normal duties.

A **workplace assessment** evaluates a workplace to identify and implement any changes necessary to help an injured employee to return to or sustain their normal or temporary suitable duties safely.

It can help you to identify aspects of work that need to be modified to prevent re-injury, and will enable the employee to return to work early and safely and sustain full work capacity in the long term. Workplace assessors come from a range of backgrounds and should be registered or certified members of their chosen fields, have ergonomic expertise and be skilled in working with injured people.

Employer support

Open communication and a consistent approach are important in successful rehabilitation.

Make sure that:

- The treatment provider's recommendations on work practices, hours and duties etc are reinforced at work
- You and your employee negotiate an on-site support person so that any issues can be managed immediately

You and your employee meet as soon as possible and regularly after that to review their progress and discuss issues.

When your employee returns to work

If your employee has had time off work, they will need medical clearance from their doctor before returning to work. Once they are back, make sure that you monitor their situation to ensure they are not re-injured or their medical condition does not deteriorate.

Managing the work environment

When your employee returns to work, you are responsible for:

- Making sure that your workplace environment is safe
- Making sure that their work is completed safely
- Providing suitable duties where possible
- Planning a safe return to work e.g. when an injured employee returns to work, their colleagues must also be kept safe.

Definitions

Accident

An event that (a) causes any person to be harmed; or (b) in different circumstances, might have caused any person to be harmed

Accident register

A book for recording serious and non-serious harm in the workplace.

Contractor

A person engaged by any person (other than as an employee) to do any work for gain or reward.

Employee

A person of any age employed by an employer to do any work (other than residential work) for hire or reward under a contract of service and, in relation to any employer, means an employee of the employer.

Employer

A person who employs another person to do any work for hire or reward.

Harm

Illness, injury, or both; and (b) includes physical or mental harm caused by work-related stress.

Hazard

An activity, arrangement, circumstance, event, occurrence, phenomenon, process, situation or substance (whether arising or caused within or outside a place of work) that is an actual or potential cause or source of harm; and (b) includes (i) a situation where a person's behaviour may be an actual or potential cause or source of harm to the person or another person; and (ii) without limitation, a situation described in subparagraph (i) resulting from physical or mental fatigue, drugs, alcohol, traumatic shock or another temporary condition that affects a person's behaviour. Hazardous has a corresponding meaning [HSE Act].

Hazard/Risk assessment

The overall process of determining whether a hazard is significant.

Hazard identification

The process of recognising that a hazard exists and defining its characteristics.

Hazard management

A system for identifying hazards to employees at work, assessing hazards, and managing hazards so that people are not harmed. Hazard management involves: (a) elimination (removing the hazard completely); (b) isolation (putting a barrier or distance between the hazard and the person); or (c) minimisation (minimising the chance that it will cause harm).

Hazardous substance

Unless expressly provided otherwise by regulations, means any substance:

- (a) with one or more of the following intrinsic properties: (i) explosiveness; (ii) flammability; (iii) a capacity to oxidise; (iv) corrosiveness; (v) toxicity (including chronic toxicity); or (vi) ecotoxicity, with or without bioaccumulation; or
- (b) which on contact with air or water (other than air or water where the temperature or pressure has been artificially increased or decreased) generates a substance with any one or more of the properties specified in paragraph (a) of this definition.

Health and safety representative

An employee elected, as an individual or as a member of a health and safety committee or both, to represent the views of employees in relation to health and safety at work.

Health monitoring

May involve biological, chemical and physical monitoring of the exposure of an individual and the work environment to determine the immediate and future health impacts of the exposure.

Examples of health monitoring include:

- Monitoring employees in a battery plant for lead concentration in their blood
- Monitoring employees in an aluminium smelter for fluoride concentration in their urine
- Monitoring the levels of sulphur dioxide (a poisonous gas) in a smelter.

HSE Act

The Health and Safety in Employment Act 1992. The HSE Act was amended in December 2002, and the amended Act came into force on 5 May 2003.

Induction

The process by which new employees are introduced to:

- The organisation's structure, roles and personnel performing them
- Rules and policies, responsibilities and expected standards of behaviour
- Terms of employment and benefits
- Training and supervision arrangements
- Standard procedures (including emergency evacuation)
- Any workplace programmes (including the safety programme).

It should take place before a new employee does any work in their specific job.

Investigation

A formal process to identify all the factors that have contributed to an incident or injury. The process should be a fact-finding exercise, not a fault-finding exercise.

Ideally the process should also document all of the consequences of the incident or injury, for example:

- Lost time (disruption at the time of the incident, lost production)
- Replacement labour costs or extra overtime payments
- Equipment and/or materials' damage or loss.

The outcome of an investigation should include recommendations for corrective actions, when they need to be implemented, and by whom.

Near hit

An event that under different circumstances could have resulted in physical harm to an individual or damage to the environment, equipment, property and/or materials.

New employees

Includes all of the following:

- Newly hired employees
- Employees returning from extended absences
- Employees hired on a contract basis
- Seconded or loaned employees
- People receiving unpaid work experience or job training
- Volunteers (i.e. persons who do not expect nor receive rewards for work performed as volunteers).

Personal protective equipment (PPE)

Any item of clothing (e.g. steel-capped safety boots, high-visibility vests) or equipment (e.g. hard hats, earmuffs) worn or used by an employee that is approved and specifically designed to provide protection from work hazards such as noise or a type of harm such as crush injuries.

If PPE is needed, employers are required to provide it and make sure that employees use it (sections 10(2)(b) and 10(3) of the HSE Act). Employees are required to use PPE where it is provided (section 19 of the HSE Act).

Procedure

A process or series of steps that is clearly documented in hard copy text format, electronic text format, or a series of hard copy or electronic flowcharts, diagrams, picture-form representations or similar, or any combination of these.

Safe work procedures

A set of instructions for a job, process or machine that when correctly followed will provide optimum safety to the employee.

Senior management

The management level within a business or organisation that reports directly to the most senior manager (e.g. Chief Executive Officer), and has the authority to act for the business. This may also include the next tier of managers in a large, multi-site organisation.

Serious harm

1. Death.
2. Any of the following conditions that amounts to or results in permanent loss of bodily function or temporary severe loss of bodily function: respiratory disease, noise-induced hearing loss, neurological disease, cancer, dermatological disease, communicable disease, musculoskeletal disease, illness caused by exposure to infected material, decompression sickness, poisoning, vision impairment, chemical or hot-metal burn of eye, penetrating wound of eye, bone fracture, laceration, crushing.
3. Amputation of a body part.

4. Burns requiring referral to a specialist registered medical practitioner or specialist outpatient clinic.
5. Loss of consciousness from lack of oxygen.
6. Loss of consciousness or acute illness requiring treatment by a registered medical practitioner, from absorption, inhalation or ingestion of any substance.
7. Any harm that causes the person harmed to be hospitalised for a period of 48 hours or more commencing within seven days of the harm's occurrence.

Significant hazard

A hazard that is an actual or potential cause or source of:

- (a) serious harm; or
- (b) harm (being harm that is more than trivial), the severity of whose effects on any person depends (entirely or among other things) on the extent or frequency of the person's exposure to the hazard; or
- (c) harm that does not usually occur, or usually is not easily detectable, until a significant time after exposure to the hazard.

Union and other nominated employee representatives

Where there are union members present on a site, it is recommended (but not mandatory under this audit) for union representatives to be provided with ongoing opportunities to be actively involved in workplace health and safety management.

The term 'other nominated employee representative' can refer to any non-union employee elected or endorsed by employees to represent employee interests. A non-union representative should not be a person selected by management.





Te Kaporeihana Awhina Hunga Whara

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Printed in New Zealand on paper sourced from well-managed sustainable forests using oil free, soy-based vegetable inks