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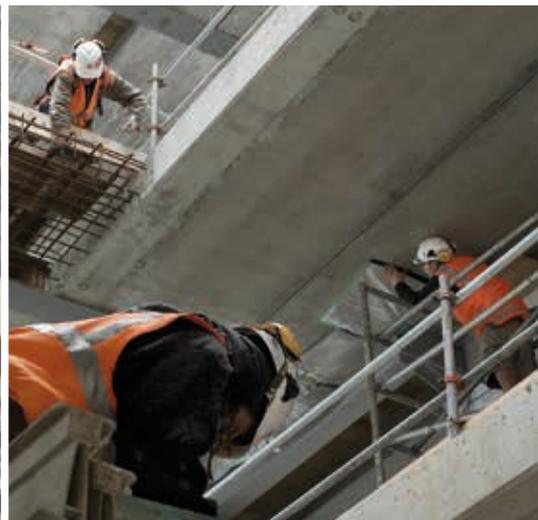


PREVENTION. CARE. RECOVERY.

Te Kaporeihana Āwhina Hunga Whara

# Guidelines to understanding the audit standards for Safety Management Practices

*ACC Workplace Safety Management Practices Audit Guidelines*



## **How will the new Health and Safety at Work Act affect the audit standards?**

We are aligning our products with the new Health and Safety at Work Act 2015 effective from 4 April 2016. Any changes are likely to be minimal and implemented later than the effective date of the new legislation. In the meantime, there are no changes to the audit standards and guidelines.

This document uses the words and tests from the Health and Safety in Employment Act 1992. If you have updated your policies to use the words and tests in the Health and Safety at Work Act 2015, your auditor will still be able to audit you.

We will assess your health and safety management practices according to our current audit standards, while acknowledging any changes you have taken to meet the new legislation.

It is important to note that achieving the audit standards does not mean you are necessarily compliant with the new Health and Safety at Work Act. We encourage you to take appropriate action to meet the new legislation. To learn more about the new Health and Safety at Work Act and your obligations, please visit the WorkSafe NZ website ([www.business.govt.nz/worksafe/hswa](http://www.business.govt.nz/worksafe/hswa)).

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Complying with the Workplace Safety Management Practices Audit Standard and the Workplace Safety Management Practices Audit Standard Guidelines set out in this document should not be relied on to satisfy compliance with any legal and other health and safety obligations of employers. It is the responsibility of the individual employer to be satisfied that legal and other obligations are met.

# Introduction

*These Workplace Safety Management Practices Audit Standard Guidelines will help you to understand and prepare for the audit when applying for*

- ACC's Workplace Safety Management Practices, or
- ACC's Accredited Employers Programme. The first section – Critical Elements 1-9 only

They may also be useful to other people interested in workplace injury management and ACC's safety incentive programmes, such as auditors, health and safety consultants and third party administrators.

These guidelines are **not** a separate level of verification; they provide an explanation of the audit requirements and should be read together with the Workplace Safety Management Practice or Accredited Employers Programme Audit Standards. They provide a number of suggestions on how you could meet the audit standards' requirements but are **not** definitive; there may be other options available depending on your business and the type of health and safety management system you have in place.

## How can these guidelines help?

These guidelines will help you to understand ACC's expectations for each of the audit requirements, so you can then interpret what they mean for your own workplace.

They relate directly to, and should be used together with:

- Workplace Safety Management Practices Audit Standards ACC442
- Accredited Employers Programme Audit Standards ACC440

You can download these documents from [www.acc.co.nz](http://www.acc.co.nz)

## How do the audit standards work?

The audit standards have 10 'critical elements', which provide a framework for building successful and sustainable injury management practices in your workplace.

Each element comprises a number of requirements that need to be met. These requirements are listed according to the three health and safety performance levels that you can achieve in the programme: primary, secondary and tertiary.

## What are the critical elements?

The critical elements 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 sub-contractors
9. Workplace observation - confirmation of safe systems in action
10. Focus group interview - confirmation of safe systems in action

## What do the three safety performance levels mean?

- The primary level recognises that your business meets basic workplace health and safety performance standards. You'll receive a 10% reduction in your work cover levy.
- The secondary level recognises that your business has adopted and demonstrates good standards of workplace health and safety practice. You'll receive a 15% reduction in your levy.
- The tertiary level recognises that your business operates a continuous improvement framework for workplace health and safety management. You'll receive a 20% reduction in your levy.

You can only achieve the tertiary level when you have a clear record of established systems and practices operating effectively in your workplace. As a guide, most of the requirements should have been in place and operational for at least 12 months.

## How do I navigate these guidelines?

The numbers used in these guidelines correlate directly to the numbers in the Workplace Safety Management Practices Audit Standards, or Accredited Employers Programme Audit Standards.

The guidelines have been separated into the primary, secondary and tertiary performance levels for each of the critical elements, so the numbering might not always be sequential. Where it might appear that numbers from the audit standards are missing, you'll find them further on in the same critical element, but under either the secondary or tertiary sub-heading.

## Where do I go for more information?

For more information about Workplace Safety Management Practices, contact our Business Customer Contact Centre on 0800 222 776, email [wsmp@acc.co.nz](mailto:wsmp@acc.co.nz) or visit [www.acc.co.nz/wsmp](http://www.acc.co.nz/wsmp)

## 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.

## Introduction

Employer commitment to health and safety is the foundation on which effective safety management practices are built. Employers who are committed to health and safety, who involve their employees and who lead by example will usually create a safer working environment than employers who dictate changes to employees and who rely on paper-based systems that are not implemented into day-to-day workplace practices.

Involving key people in the development, implementation and monitoring of health and safety management processes and systems is one way of demonstrating an employer's commitment to health and safety. Key people in the workplace may include line managers, supervisors, team leaders, union representatives and employees who are interested in, and involved in, any aspect of workplace health and safety. Employer commitment may also be reflected through the availability of resources and through managers who are familiar with best practice health and safety standards. A health and safety policy that is visible in the workplace or staff notice boards that display relevant and recent health and safety information can also give some indication of an employer's health and safety commitment.

Consideration of both management and employee perspectives on health and safety promotes a workplace culture of joint participation and accountability. Employees should be provided with ongoing opportunities for involvement in the development, implementation and monitoring of health and safety in the workplace. A sense of 'partnership' or joint ownership between management and employees will provide a balance that is likely to instil a greater level of commitment to sustainable health and safety improvements.

## Primary requirements

### 1.1.1

The health and safety policy will usually be a short written document (in either hard copy or electronic form) that identifies the overall health and safety commitment of the employer and includes the specific statements of commitment required in this critical element.

### **1.2.1**

The health and safety policy needs to be signed/authorised and dated by a senior management representative who has overall responsibility for health and safety in the workplace. A recent senior management signature gives some indication of management's ongoing interest, involvement and commitment to health and safety.

### **1.2.2**

Senior management representatives need to be involved in reviewing the overall policy document(s) at least every two years. This may just involve confirming that the policy is still relevant and then re-dating and re-signing it. Alternatively, changes in the policy may be required based on new ideas and innovations in workplace health and safety, continuous improvement requirements, or due to changes in business practices, structure or key personnel. Confirmation of the process to review the policy document can be verified by evidence such as schedules, diaries or minutes of meetings.

### **1.3.1**

There may be a range of different legislative and regulatory standards that employers need to comply with according to the type of business they are in, for example, food hygiene standards, marine safety standards, and handling of hazardous substances. The policy document needs to include a statement of the employer's commitment to comply with legislation, regulations, codes of practice and safe operating procedures relevant to the particular workplace.

### **1.4.1**

The policy document needs to include a general statement from management acknowledging and accepting their ultimate responsibilities for health and safety standards in the workplace.

### **1.4.2**

A senior manager should be assigned responsibility for health and safety to ensure there is appropriate support and resourcing for health and safety management and initiatives in the workplace.

### **1.5.1**

The policy document needs to refer to the responsibilities of all employees in creating a safe and healthy work environment. For example, the statement may include the individual employee's responsibility to maintain his or her own safety, and the safety of others, within the workplace.

### **1.6.1**

To support active involvement of employees and their representatives, the policy document needs to include a statement of the company's commitment to consultation with unions and other nominated employee representatives in managing workplace health and safety.

### **1.7.1**

For employers to be able to accurately assess their workplace health and safety performance, it is important that all workplace injuries and incidents are reported and recorded accurately. The health and safety policy or health and safety documents should include a specific commitment to ensuring this occurs.

### **1.10.1\***

Health and safety documents (for example, policy documents, health and safety manual, induction handbooks) should include a statement of commitment to supporting the safe and early return to work of injured employees.

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\* Please note: This requirement applies to Workplace Safety Management Practices audits only. Rehabilitation elements are covered separately for Accredited Employers Programme.

## Secondary requirements

### 1.4.3

As further evidence of an employer's commitment to health and safety, all management positions should include health and safety responsibilities that are measurable and specific to the individual manager's role. For example, 'the supervisor will include a health and safety update in the fortnightly toolbox meetings' or 'the line manager will take responsibility for the investigation of all work injuries'. This can be verified by completed performance reviews, key performance expectations, job descriptions or similar.

### 1.7.2

Accurate reporting of workplace incidents and injuries needs to be the responsibility of all levels of management. Therefore management job descriptions or key performance expectations (or similar) need to include a requirement to ensure injuries and incidents are openly and accurately reported and recorded.

The impact of health and safety performance targets such as the recording of 'injury free-days' should be carefully considered as this may discourage employees from reporting injuries and incidents. Employees may be reluctant to report injuries and incidents as this may be seen as letting the team down by breaking a record number of injury-free days, or it may influence whether a team bonus can be achieved.

### 1.8.1

To support continuous improvement in health and safety, the policy document needs to include a statement confirming the employer's commitment to review and evaluate health and safety.

### 1.8.2

To ensure opportunities for continuous improvement in health and safety are identified, employers are required to have a system to review health and safety in the workplace. It is important that a senior manager(s) is part of this review to ensure any areas of improvement are communicated to senior management for consideration. This can be verified by completed quality assurance reviews, checklists (or similar).

### 1.10.2\*

Information on how to support safe and early return to work needs to be readily available to management staff through, for example, training programmes, written information, brochures, key contact details.

## Tertiary requirements

### 1.4.4

Employers need to demonstrate that the health and safety responsibilities of managers have been reviewed. This can be verified by completed performance reviews or similar confirmation. It is not necessary for employers to provide details of private performance review information. However, employers will need to demonstrate that actual reviews have taken place.

### 1.8.3

Employers need to demonstrate that employees' good performance and ideas in health and safety are acknowledged in some way. This can be verified by, for example, the giving of gift vouchers or

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\* Please note: This requirement applies to Workplace Safety Management Practices audits only. Rehabilitation elements are covered separately for Accredited Employers Programme.

certificates, or a notice or mention of achievements, articles in company newsletters or bulletins that recognise good health and safety performance or actions.

The focus of this verification is not on defining excellence in the workplace but rather on an employer acknowledging staff efforts and innovation in health and safety.

### **1.9.1**

It is important that employers acknowledge that health and safety responsibilities are an integral part of each management role. A statement of commitment is required to support management understanding of health and safety, relative to individual positions. For example, the health and safety manager will be required to have a more in-depth understanding of health and safety legislation than a team leader. However, the team leader may be required to have an understanding of how to investigate injuries, and the line manager may need to have an understanding of how to support an injured employee's early and safe return to work.

### **1.9.2**

As further evidence of their commitment to health and safety management, an employer needs to demonstrate that senior managers have kept up to date with health and safety information and any changes in relevant legislation (relative to their workplace and individual management position).

This may be verified by management attendance at health and safety related conferences or seminars, involvement in specific health and safety training or updates (or similar) that has occurred within the previous two years.

### **1.10.3\***

Employers need to demonstrate active involvement in supporting the return to work of any employees injured in the workplace. This can be verified by completed rehabilitation plans, case conference notes, or return to work programmes which include the employer's involvement.

NB: this only applies where employees have required support in returning to work following an injury.

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\* Please note: This requirement applies to Workplace Safety Management Practices audits only. Rehabilitation elements are covered separately for Accredited Employers Programme.

## 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.

## Introduction

Effective planning, review and evaluation will enable employers to establish a sustainable framework to develop, maintain and promote a safer working environment. A planning framework and the setting and monitoring of 'SMART' health and safety objectives ensures that continuous improvement opportunities are identified.

A well-established cycle of health and safety planning, enables health and safety management to remain current and relevant to the workplace and allows for participation and accountability from both management and employees.

## Primary requirements

### 2.1.1

Employers need to demonstrate that there is a process for the annual review of overall health and safety management systems. The process should consider at an organisational level whether the systems in place are sufficient and adequate to manage workplace health and safety requirements. The process may also include:

- the purpose of the review
- who needs to be involved
- the frequency of review
- what the review will cover
- how the review will be undertaken
- recent performance information, and
- any new health and safety information that may influence management changes.

### 2.2.1

Employers who set and meet 'SMART' health and safety objectives are providing a measurable focus for health and safety performance over a defined period of time. For smaller employers the objectives may relate to the management of particular hazards. In a larger organisation, overall objectives set at a head office level will relate to business-wide targets, with more specific targets being set for individual work areas.

In both cases the objectives set should be:

- **Specific** – clear and direct rather than vague and generalised – for example, company ABC will undertake joint hazard identification with employee representatives in all departments every three months from 1 April 2014.
- **Measurable** – it should be easy to confirm whether the objective has been achieved. In the above example – is there a record of three monthly hazard identification 'walk-arounds' and meetings from 1 April signed by management and employee representatives?
- **Achievable** – set objectives that can be met by your staff and within the time frame available. Do not set targets that cannot be met such as 'we will reduce our work injuries by 50% within six months', if you are still trying to get most people to understand the basics of hazard identification and management.
- **Realistic or relevant** – this is tied in closely with whether something is achievable. For example, an objective to 'become a leader in workplace health and safety management in New Zealand' may be commendable but may be difficult to achieve and almost impossible to measure. Staff will quickly become discouraged when the set target is unrealistic. Objectives should also be relevant to the type and size of the business and should build on recent health and safety performance.
- **Time-bound** – the objectives set should be specific and realistic enough to be able to be achieved within a defined time frame that will usually be twelve months or less. If you have three-year targets, it is good idea to break these down into smaller annual or monthly targets so that progress can be tracked and acknowledged.

Health and safety objectives should be 'SMART', easy to remember and few in number, so that the workplace can focus on meeting the targets set.

Employers need to identify and document specific objectives to be achieved over 12 months, and to develop a plan to achieve these objectives. These objectives and management plan may detail:

- responsibility
- resource allocation
- measurement of outcomes
- time frame for completion
- accountability to ensure objectives can be met.

### 2.2.2

Employers need to have a documented procedure to ensure that objectives will be reviewed and updated annually. This procedure may include:

- how the review will be conducted
- time frames for review

- the people to be involved in the review
- measures of achievement
- the method for updating and setting objectives.

### **2.5.1**

An annual self-assessment using the programme audit standards will enable employers and employees to gain a clear understanding of actual health and safety performance in all areas of the workplace. This will provide confidence that the standards are being maintained and lead to appropriately targeted improvements in health and safety management. Employers need to have a procedure to carry out an annual self-assessment (with the involvement of union and other nominated employee representatives) to ensure that the requirements of the audit standards are met and maintained. This process is a valuable support in maintaining worthwhile health and safety standards and in sending a clear signal about the importance of joint health and safety involvement and responsibility between management and employees.

The self-assessment procedure may consider:

- which sites will be assessed in detail
- who will take part in the self-assessment
- the process for undertaking the self-assessment
- review of findings
- responsibilities for any necessary amendments
- reporting and dissemination of information
- who might be involved in the audit
- how the independent audit findings will be managed and any issues addressed.

Some of the critical elements in the audit standards can be addressed from a central point in the company to meet the self-assessment requirements, and may not need to be looked at in detail at each individual site. However, each work site should at least consider their responsibilities in relation to the following areas of the audit standards:

- hazard identification, assessment and management
- information, training and supervision
- incident and injury reporting, recording and investigation
- employee participation in health and safety management
- emergency planning and readiness.

The remaining critical elements may also need to be self-assessed depending on the functions and responsibilities within particular areas of the workplace.

### **2.5.2**

Employers need to demonstrate that a self-assessment has been undertaken with management and union or other nominated employee representatives within the previous 12 months. This can be verified by completed self-assessments, signed declarations or similar.

## Secondary requirements

### 2.2.3

Employers need to demonstrate that health and safety objectives have been reviewed in the previous twelve months. A commitment to carry out a review of objectives is not sufficient to meet this secondary requirement, rather a review needs to have actually been undertaken. This can be verified by minutes of meetings, planning documents, the update of objectives following review or similar.

### 2.4.1

Employers need to demonstrate the way in which health and safety information (relevant to the particular workplace) is identified and kept up to date, for example, changes in legislation, regulations and codes of practice. The process of keeping health and safety information current may include the receipt of information from professional bodies, renewing of certification, attendance at seminars and briefings and subscription to relevant publications.

### 2.4.2

Employers need to have a process to support compliance with relevant health and safety standards that may include:

- how compliance will be measured
- regular informal checks
- an internal or external audit
- the use of internal or external health and safety specialists following the introduction of significant changes in requirements
- time frames for review.

### 2.4.3

Employers should be able to demonstrate that review(s) have taken place to identify and accommodate any changes in health and safety related information. This can be verified by completed audits or assessments, updates to policies or procedures where legislation has changed or similar.

## Tertiary requirements

### 2.1.2

Employers need to have a process established that requires the structured review of relevant areas of health and safety management following:

- a critical event such as a serious harm injury or major incident involving property damage
- a potentially serious 'near-miss' event, or
- any changes in work practices or systems (for example, changes to business operations, or the introduction of new machinery, or the way the processes are carried out).

This process may consider:

- the main contributing factors to the injury or incident
- whether current policies and procedures are sufficient to prevent or minimise a recurrence

- whether there is an adequate understanding of staff responsibilities following a critical event
- whether additional employee information or training is required.

#### **2.2.4**

The active involvement of key people in the workplace in the setting and reviewing of health and safety objectives promotes a strong, joint management and employee commitment to achieving the agreed objectives. The employer will need to demonstrate that senior managers, union representatives and other nominated employee representatives have been involved in the setting and reviewing of health and safety objectives. This can be demonstrated by minutes of meetings, quarterly review information, the update of objectives following review or similar.

#### **2.3.1**

To ensure opportunities for improvements are identified, employers need to have a documented process to review and evaluate the effectiveness of hazard identification and management systems at a senior level within the organisation. This process should include consultation with unions and other nominated employee representatives and may consider:

- whether timetables for review of hazard management at each site are adequate
- whether there have been any significant breakdowns in hazard management effectiveness
- who should be involved in the review – what expert advice may be needed
- resourcing requirements – are resources sufficient for effective hazard management
- what skills, knowledge and detailed workplace understanding is required of those involved.

#### **2.3.2**

Hazard management systems should be reviewed annually to ensure they remain current and effective. An annual review also provides an opportunity to consider any recent innovations and developments in hazard management practices, and enables any relevant changes to be made.

An annual review of systems can be demonstrated by a review of documents, minutes of meetings, agendas or similar.

## 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.

## Introduction

Effective management of workplace hazards is central to creating a safer working environment. Effectiveness can be achieved through:

- informed advice
- an understanding of the workplace
- joint accountability between the employer and employees
- a systematic approach
- ongoing review and evaluation
- measured outcomes.

A good, systematic approach to managing workplace hazards will significantly reduce the number and severity of workplace injuries. It is important to look beyond the obvious physical hazards to include the identification and management of hazards such as job design, work organisation and issues facing employees who work alone or off-site.

## Primary requirements

### 3.1.1

Employers should consider and understand the types of general hazards that may be found within their workplaces (for example, chemical, physical, biological, psychological and ergonomic) and should have a detailed systematic management approach to the specific hazards facing their employees.

A variety of systems may be used by employers to identify these hazards (such as active analysis of the workplace considering work tasks, occupations and work areas, feedback from employees and analysing accident statistics).

Documentation should confirm a robust and sustainable procedure that the employer uses to identify, record and manage hazards within the workplace. Good hazard management is reliant on informed identification and assessment and effective implementation of controls.

### **3.1.2**

A hazard register should exist in either electronic or hard copy form, that confirms the day-to-day operation of the hazard identification process. This process should consider the actual and potential hazards faced by employees working both on and off-site. The hazard register needs to be current and accessible to employees throughout the workplace.

### **3.2.1**

Employers should be able to demonstrate a clear understanding of how a significant hazard is defined in the Health and Safety in Employment Act 1992. This understanding can be demonstrated (to a certain extent) through health and safety documentation, process documents or similar. The understanding can be further demonstrated through the appropriate identification of significant hazards that should then be applied to whatever process is used to prioritise the development and implementation of controls to manage the identified hazards (as required in 3.2.2).

### **3.2.2**

Employers need to have a process in place to demonstrate that the definition of significant is used when assessing hazards in the workplace. This process may include:

- determining the skills, experience or roles of people who should be involved in hazard assessment
- determining how to identify and record hazards in a particular work area
- the way in which the identified hazards will be assessed that includes an assessment of their significance
- gathering of the required information
- determination of the most appropriate control method for each hazard
- confirmation that this process has been used in the assessment of hazards and can be verified by completed assessments, minutes of meetings, agendas or similar.

Please note: Various methods of risk assessment alone (without a clear understanding of significance) are unlikely to meet this requirement.

### **3.2.3**

The hazard register (or similar) needs to record the hazards identified within the workplace and indicate those that have been assessed as significant. Where hazards have been identified as significant, appropriate controls must be put in place.

If employers elect to manage all identified hazards as significant (even though each hazard may not meet the definition of significant as defined by health and safety legislation), the employer is then required to demonstrate that appropriate controls for each hazard have been implemented.

### **3.3.1**

Employers need to have a documented process to consider hazard controls and selection of the most appropriate control (i.e. to eliminate, isolate or minimise). This process may consider:

- the range of people and the skill level required of those involved
- how to determine the most appropriate control, considering expert information and resources available

- the questions to ask to determine what the selection of controls is based on
- the review process and frequency for the selected controls.

### **3-3-2**

The documented process should include each significant hazard and whether it has been eliminated, isolated or minimised.

When the decision is made to isolate or minimise a hazard, employers must ensure that there is ongoing monitoring and review of the effectiveness of the control. The process should also include responsibility for reviewing the control and the hazard and the time frames for review.

### **3-3-3**

Where significant hazards require use of safety equipment or personal protective equipment a process (in either electronic or hard copy form) needs to exist, to confirm how this equipment is issued, used, renewed and maintained. This process may consider:

- the equipment required by each person
- the date equipment is issued
- the service or replacement timeframes for equipment.

### **3-3-4**

Employers need to demonstrate that the controls implemented for significant hazards are based on appropriate internal or external documentation and/or advice. For example, the management of noise levels, workplace temperatures, light and ventilation, and ergonomic assessments must be based on informed specialist advice or assessment.

### **3-4-1**

To ensure workplace hazards are appropriately identified and managed it is necessary that employees leading the hazard identification process have received a suitable level of training or are adequately experienced to carry out this function. Employers must be able to demonstrate that anyone involved in leading hazard management in the workplace has specific knowledge and/or experience to undertake this role so that hazards are identified and managed appropriately. This can be verified by records of training, confirmation of previous experience or similar.

### **3-5-1**

Where internal staff do not have sufficient knowledge or competency to be able to manage specific hazards, employers need to have a documented procedure to determine when external specialist health and safety advice or support may be necessary. This may include:

- details of internal specialist advice available, and any gaps in knowledge or experience
- the rationale and criteria when considering an external specialist
- contact details of approved external specialists.

### **3-7-1**

New or modified equipment, material, services or work processes that are brought into the workplace can potentially lead to the introduction of unidentified and unmanaged hazards. Documentation is required to confirm that there is active consideration and management of the hazard potential before changes in equipment, materials, services or processes are introduced.

This process may consider:

- who should be consulted about the planned changes and what information may be needed
- design and implementation
- use and impact on health and safety
- training needs to minimise hazard potential
- review of hazard management and evaluation of use
- sign off that the process has been completed before implementation.

### **3.8.1**

Employers must provide ongoing opportunities for union and other nominated employee representatives to be actively involved in hazard management. This ongoing involvement is important so that wider perspectives and day-to-day workplace experience can be considered in the management of hazards. Best practice hazard management will always seek both management and employee information and experience in identifying, assessing and managing workplace hazards.

Employers should be able to demonstrate that union and other nominated employee representatives are actively involved in hazard management. This may be demonstrated, for example, through evidence of joint development and review of existing hazard registers, minutes of meetings, memos about upcoming review meetings inviting participation or similar.

Where there is no active union and other nominated employee representative involvement in hazard management the employer needs to demonstrate that opportunities for involvement have been provided, and will continue to be provided. This can be demonstrated through invitations to attend meetings, messages or letters declining participation, dissemination of information, email messages or similar.

### **3.9.1**

Employers need to have a process to identify tasks where health monitoring and ongoing regular testing of employees may be necessary, when specific workplace hazards cannot be eliminated. The process needs to identify the task, the specific hazard potential, the monitoring that is required and the time frames for monitoring. For example, employees working in high noise areas (such as a mutton chain in a meat plant) may be exposed to potential loss of hearing if the required hearing protection is inadequate. Annual hearing tests may alert the employer to problems with protective equipment or unacceptable compliance in wearing the protection, which may need to be managed.

Even where health monitoring is not required a documented process should still exist. The process may be necessary to monitor any potential health issues when new significant hazards are identified and need to be managed through minimisation controls. An existing process will help to ensure that the need for future health monitoring is not overlooked.

If health monitoring has been considered and not needed at this time, the other requirements under 3.9 will not be applicable.

### **3.9.2**

Where baseline health monitoring is required, the employer will have a documented process that considers:

- how monitoring will be undertaken
- testing that is required

- frequency of monitoring required
- notification of results to employees
- employee consent.

### **3.11.1**

An employer is required to clearly mark any restricted areas of work. This may include restrictions designated through signage, closed work areas, floor markings, escorting requirements or similar.

### **3.11.2**

Employers need to maximise the safety of visitors and members of the general public in work areas. Planning may include the provision of specific and appropriate signage and security log books or visitors registers for all work sites. Some employers may also have escorting restrictions that need to be made clear to any site visitors.

### **3.11.3**

Employers need to provide evidence that emergency procedures are covered with site visitors. This may be verified by a document that is signed by site visitors to confirm procedures have been covered or that the company health and safety video has been viewed. In a number of workplaces a staff member will accompany visitors at all times.

### **3.11.4**

For those work areas where personal protective equipment is required the employer must ensure that appropriate equipment is available and provided to all visitors (for example, hard hat, safety boots).

## **Secondary requirements**

### **3.1.3**

Employers need to regularly review the hazard identification process used in the workplace to ensure all hazards have been identified and to establish any opportunities for system improvements. Employers need to provide confirmation that the hazard identification and recording process is reviewed regularly. This can be verified by timetables, minutes of meetings, updated hazard registers or similar.

### **3.5.2**

Employers need to ensure that relevant information on workplace hazard management is accessible to all employees. Employees should have access to written information, material safety data sheets (MSDS), manuals, reference library information or similar.

### **3.5.3**

Where specialist advice is required, employers need to have information about internal or external health and safety specialists who are able to assist in the monitoring and review of specific hazards in the workplace. This information may include details of areas of speciality, qualifications, and experience with the employer's industry type, recent health and safety successes, and details for further information and contact. It may be helpful to also include identification and access to a contact person on-site who is responsible for co-ordinating the use of any external specialists.

### **3.6.1**

In situations where hazards are controlled by isolation and minimisation, a schedule or timetable is required to monitor the hazard at intervals appropriate to the nature of each hazard. For example, monthly review

of air quality and ventilation systems in areas exposed to diesel fumes, and annual biological monitoring. Another example is the need for pre-shift checks on some machine guarding where there are many users of the machine, while other hazard controls may only need to be reviewed six monthly or annually.

### **3.6.2**

All controlled hazards should be regularly reviewed. The timetable or schedule employers use, needs to include responsibility for ensuring that monitoring occurs and is signed off when completed at the end of each period.

### **3.7.2**

The process for purchasing new equipment needs to include consultation with health and safety personnel to ensure that any hazards associated with new or modified equipment or work practices are identified and managed. This process may consider:

- people who should be consulted
- situations when consultation is required
- the method of consultation
- time frames for consultation.

### **3.9.3**

The health monitoring process should include post-critical event testing to identify any employee health-related issues that may result from the event. Post-critical event testing can also be used to determine if any employee-related impairment may have contributed to the event.

For example, lung function tests may be undertaken following a critical event such as a workplace fire for all employees who were exposed to smoke, to determine whether there has been any health impact after the event. Sometimes it will be appropriate to undertake drug tests, for example, if driver impairment may be a likely factor in a forklift driving injury.

Exit testing is helpful in identifying any changes that may have occurred as a result of workplace exposure to certain hazards, and also to limit the employer's liability to where it should lie.

A final hearing test may be completed and compared to entry and regular tests for departing employees who have worked in high-noise areas.

In order for health monitoring to be used successfully union and other nominated employee representatives should be involved in setting policies and protocols.

### **3.9.4**

A process is required to manage any sub-optimal health monitoring results for employees. The process should consider:

- how the employee is notified of sub-optimal results
- the information, treatment and rehabilitation that may be offered to the employee
- the options for future employment, including internal redeployment (if required).

### **3.9.5**

The process for managing sub-optimal health results needs to include feedback of any identified issues into hazard management. For example, lung function tests showing a change in vital capacity may indicate that breathing equipment used as protection needs to be reviewed. This information

should be fed back into hazard management to ensure employer and employee representatives have an opportunity to review hazard controls that may have contributed to the sub-optimal result. It is important that employee confidentiality is maintained throughout this process.

### **3.10.1**

Pre-employment screening may be appropriate for some tasks to ensure potential employees are not exposed to any task where they may be predisposed to developing a work-related injury or illness. A documented process is required to identify any tasks where this pre-employment screening may be appropriate so the potential for work-related illness or injury through the exposure to particular tasks is minimised. For example, pre-employment lung function tests may be necessary for new employees whose role may expose them to inhaled hazards, or pre-employment hearing tests for employees where roles will expose them to high noise levels. This process may include:

- detailing the hazard within the task (for example, exposure to solvents for a spray-painter or exposure to high noise levels in a factory)
- identifying appropriate health status measures (for example, lung function tests, audiograms)
- completing the required testing and a review of the results prior to commencement of employment.

### **3.10.2**

In situations where pre-employment screening is considered appropriate a documented rationale and process for this screening that is directly related to the identified significant hazards is required. This process may consider:

- factors to identify potential applications to be screened
- how screening will be undertaken
- who will undertake the screening
- how results will be provided to potential employees
- the options for managing the results of screening tests.

## **Tertiary requirements**

### **3.4.2**

To ensure the highest safety standards are achieved in line with current information, employers should be able to verify the level of training and/or experience of staff leading hazard management. People involved in leading hazard management must have received hazard-specific training or increased their experience within the last two years. This may be verified by training records, certificates, and attendance at seminars and workshops.

### **3.7.3**

Where employers have identified the need for new or modified equipment, or changes are made to work processes or services, they need to demonstrate that health and safety issues have been considered in purchasing and design decisions. For example, this can be demonstrated by purchasing specifications, protocols for consultation and health and safety sign offs.

## 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.

## Introduction

The establishment and maintenance of effective information, training and supervision processes related to health and safety will ensure that all employees in the workplace are equipped to undertake their roles and tasks in a way that maintains their health and minimises the potential for injury to themselves and their colleagues. Placing a high priority on health and safety information that is relevant and presented appropriately will not only assist an employer in meeting legislative responsibilities, but will also encourage informed, joint involvement in health and safety issues and clearly demonstrate the employer's commitment.

## Primary requirements

### 4.1.1

Health and safety induction training needs to be provided for all new employees or employees who are transferring to a new work environment, role or task.

The timing of health and safety induction should be determined by the employee's exposure to particular hazards and the significance of these hazards. For example, an employee should not be able to commence work without first being given the necessary safety training and information on emergency procedures relevant to his or her work area. Alternatively, an employee may be able to safely begin work while waiting for a group training session on workplace rehabilitation support, that may be part of a regular cycle of health and safety information.

Employers are required to demonstrate that staff health and safety inductions occur and cover the relevant requirements itemised in the audit standards.

### 4.1.2

Signed employee induction training records or similar individual verifications are required to demonstrate that management responsibilities for health and safety training have been met and maintained for all employees, and to ensure that employees know how to keep themselves safe.

#### **4.2.1**

In addition to training on general health and safety requirements and information, the employer should identify any further health and safety training that may be required for specific roles, tasks or areas of work. For example, training to safely handle chemicals or training to use specialised equipment.

#### **4.3.1**

Employers must ensure that health and safety information delivered to employees has been understood. This can be demonstrated in a variety of ways including:

- quizzes or interviews
- written questionnaires or tests
- practical demonstrations and application in the workplace
- certificates of attainment, licences or other similar competency tests.

#### **4.3.2**

Signed employee training records (or similar verifications such as attendance registers or training records) are required to confirm that employees have undertaken health and safety training.

#### **4.3.3**

Employers need to provide evidence that employees undertaking tasks that require specific training have completed the necessary training. For example, specific training for confined space entry, and licences for heavy truck driving or forklift driving.

#### **4.4.1**

Employers should have written guidelines that include reference to the competency level required of people providing health and safety related training to staff. For example, a manager is only able to train employees on a piece of machinery following the successful completion of the appropriate training or certification, or hazard management training can only be undertaken by people with the relevant experience and qualifications.

#### **4.4.2**

Employers need to provide confirmation of the skills, experience or qualifications of any internal trainers used. This may be assumed in some instances by a trainer's membership in certain organisations, such as St John Ambulance, or may be demonstrated by copies of certificates, qualifications or records of experience.

#### **4.7.1**

Site-specific health and safety information should be available in each workplace (for example, emergency signage, posters, MSDS sheets). There should also be reference to how employees are able to access further information. This may include a location such as an intranet site or workplace library, or information on how to contact the health and safety manager (or similar) who will then direct employees to additional information.

#### **4.8.1**

It is crucial that staff members undergoing training do not pose a health and safety risk to themselves or other employees. A process is required to ensure that only appropriately qualified or experienced people supervise employees undergoing on-the-job training. This process may include:

- the skills and competencies required to supervise a particular task
- how experience and skills will be assessed
- determination of responsibility for carrying out the assessment.

### **4.8.2**

Employers need to have a process to ensure that employees who are new to a task or role do not endanger themselves, other employees or equipment. The process also needs to confirm that the designated supervisor has sufficient skills and experience to undertake on-the-job training. In many workplaces there may be a need to identify the trainee and the trainer by the use of name badges or different coloured overalls for example. In other workplaces a clear introduction and explanation to other staff may be sufficient.

## **Secondary requirements**

### **4.3.4**

Employers need to have a reminder or bring-up system (in either electronic or hardcopy form) to identify staff who need to maintain qualifications, certificates and/or specific training. For example, forklift licences, first aid certificates or similar. The reminder or bring-up system should also assign responsibility for this process.

### **4.5.1**

Employers are required to have a process (guidelines or a checklist) available for the selection of external providers. This process may include:

- the particular training needs of an employer (for example, what professional skills may be required?)
- qualifications, expertise and experience of the trainer
- the trainer's familiarity with the workplace
- location, cost and accessibility of the trainer.

### **4.6.1**

It is important to ensure that health and safety information in the workplace is kept up to date. A system is required that confirms how health and safety documents will be reviewed and changed, and how outdated documents will be recalled. In a small organisation this responsibility may fall to the manager or health and safety representative. However, in a large multi-site organisation this function should be managed centrally.

### **4.6.2**

All health and safety information (for example, manuals, safety instructions) is required to be dated to ensure that only the most current information is being used.

### **4.6.3**

To ensure that all areas of the workplace are consistently using the same health and safety information, document control should be the responsibility of a particular role or roles, with all changes to health and safety documents made from a central point by the designated role(s).

## **Tertiary requirements**

### **4.3.5**

Employers need to provide evidence that staff have achieved the required competency following specific health and safety training. For example, certificates, licenses, practical skills demonstrations relevant to the particular training.

## 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 action is 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.

## Introduction

Systems for reporting and recording incidents, injuries, near-hits and early reports of gradual process injuries are essential to understanding workplace risks and for the successful prevention and management of injuries. Following incident and injury reporting, employers need to respond by carrying out investigations of the reported incidents and injuries according to pre-determined criteria.

Investigating incidents and injuries enables employers to take corrective action to prevent similar events in the future. Investigating near-misses provides employers with an opportunity to assess the frequency and likely impact of these events so that prevention measures can be implemented before anyone is injured.

## Primary requirements

### 5.1.1

A documented procedure is required for reporting and recording injuries, incidents, near-hits and gradual process injuries or work-related illnesses. The procedure should consider:

- an explanation of the workplace understanding of 'near miss', 'incident' and 'injury'
- time frames for reporting
- responsibilities
- method of reporting
- reporting lines
- the requirements of 5.1.2, 5.1.3, 5.1.4 and 5.1.5 should also be considered as part of this documented procedure.

### **5.1.2**

Employers need to have incident and injury (accident) reporting forms (for example, WorkSafe New Zealand forms or similar employer-specific reporting forms) available throughout the workplace in either hard copy or electronic form. All employees need to know where these forms are located and how to complete them.

### **5.1.3**

To promote early and accurate incident and injury reporting, reporting forms (such as an accident register) should be readily available and accessible in the workplace.

### **5.1.4**

The documented procedure should include the requirement for a prompt response to reported incidents and injuries. This procedure should consider:

- designated responsibilities for injury response
- appropriate medical intervention
- reporting and recording the incident or injury
- investigation responsibilities
- initiation of investigation
- management and employee participation in the investigation
- reporting and follow-up of the investigation
- ongoing contact with the injured employee
- any feedback into hazard management.

### **5.1.5**

Where employers have more than one work area or multiple sites, incident and injury data should be collated into a central record for analysis. This collation of incident and injury data is important to enable the employer to have a more complete understanding of the injury potential within the whole workplace, and to make the appropriate resources available for targeted health and safety management.

Informal collation of injury and incident information may be acceptable in a small workplace where all employees are aware of injuries and incidents that have occurred, and where prevention planning involves the whole workplace. For larger employers a formal method or system for collation and analysis of injury and incident information from all areas of the business is required.

### **5.2.1**

Employers need to ensure that injury and incident reporting forms are available in all work areas. Employees need to know where these forms are located, how to complete them, or who to approach for assistance.

### **5.2.2**

Information about individual reporting responsibilities should be included in induction training, in staff communications, in team briefings, in health and safety meetings and communications. This will reinforce individual employee responsibility for incident and injury reporting.

### **5.2.3**

Where an incident or injury has occurred at a work site, the employer should have reports available to demonstrate that employees have understood the requirements and that reports have been completed.

The purpose of viewing completed forms is not to reinvestigate the circumstances surrounding the incident or injury, but rather to confirm that incident and injury reports have been completed.

### **5.3.1**

Employers need to ensure that WorkSafe New Zealand is notified of all serious harm injuries as soon as possible (preferably within 48 hours of the event), and that a written report is sent within seven days. Therefore, an individual role or person within the workplace should be designated with the ultimate responsibility to ensure WorkSafe New Zealand is notified.

The procedure should also include a back-up person or position to cover this responsibility for any leave or absence.

### **5.3.2**

Where a serious harm injury has occurred, copies of WorkSafe New Zealand notification forms should be available to demonstrate that notification to WorkSafe New Zealand has actually occurred as required by the procedure.

### **5.4.1**

Employers need a procedure detailing the incident and injury investigation process that is followed in the workplace. This may consider:

- how to determine which incidents require investigation
- the investigation of all workplace injuries, even minor injuries
- the method of investigation
- details of how investigations will be undertaken, by who, when, and within what time frame
- the experience or qualifications required for people leading investigations
- the role of the injured person and work colleagues in the investigation (where appropriate)
- how to access further information or expertise
- the links from the investigation process into hazard management
- reporting results of the investigation to senior management and employees.

### **5.4.2**

The workplace should have designated incident and injury investigators. The appointment of an investigator should consider the skills and experience needed to carry out this function. This role may be appointed internally or externally according to the expertise available.

### **5.4.3**

Employers need to have incident and injury investigation forms available in either hard copy or electronic form. The investigation form used should consider:

- the requirement to gather all relevant information
- feedback from all those involved (where possible)
- seeking and analysing contributing causes
- identification of corrective action
- reporting responsibilities of the outcome of the investigation
- sign off on completion.

#### 5-4-4

Where incidents and injuries have occurred, actual investigation forms should be available to demonstrate that forms have been completed. The purpose of this review is not to assess the correctness of the investigation, but to confirm that investigations are carried out as required by the employer's incident and injury investigation procedures.

#### 5-5.1

The incident and injury investigation procedure should include what corrective actions will need to be undertaken following an investigation. This procedure may include:

- determination of the best response based on the significance of any safety breach that may have occurred
- the expertise and resources available
- time frames for developing and implementing corrective actions
- reporting responsibilities to senior management and other staff.

#### 5-5.2

Any hazard-related issues identified during an investigation should be fed back into the hazard management process to ensure controls are reviewed and that required changes are implemented and monitored. As well as the requirements of 5.5.1, the incident and injury investigation needs to include the provision for the feedback of corrective actions into hazard management.

### Secondary requirements

#### 5-5.3

The process for corrective action should consider the requirements outlined in 5.5.1 and 5.5.2 and also consider:

- assigning responsibility for undertaking corrective action
- time frames for completion
- acknowledging completion by date and signature
- any feedback into injury prevention and training where necessary.

Recommendations for improvement as part of an investigation may include procedural changes, amendment of hazard controls, further injury prevention measures, and additional training or information.

#### 5.6.1

The review of collated incident and injury information enables an employer to understand the scope of any injury issues across the whole workplace, to identify trends, and to prioritise injury prevention initiatives and resources to the most appropriate areas.

An employer needs to have a process to review collated injury data from all work areas, business divisions and worksites, to identify trends.

The process should include:

- frequency of reviews (at least annually)
- the employees and managers to be involved in the process

- the method of collation and interpretation of information (for example, by worksite, injury type etc)
- follow up required as a result of reviewing the injury data
- responsibilities for any follow up
- reporting responsibilities to senior management level.

## Tertiary requirements

### 5.5.4

Senior management involvement is required to ensure there is an overall understanding of current hazard management in the workplace and to ensure appropriate resources are made available for any necessary changes or improvements to workplace safety management practices.

Employers need to demonstrate that there is senior management involvement or interest in the results of incident and injury investigations. For some employers, a senior management representative may lead or take part in the investigation, but where this is not the usual practice, the investigation results should be reported to senior management on completion.

### 5.6.2

Employers need to demonstrate the requirements of 5.6.1, through a six monthly review of incident and injury data to identify trends, and provide information to managers and employees that can be used in injury prevention initiatives. Verification that this has occurred may include minutes of meetings, process documents, communications to management and employees.

### 5.6.3

Where injury prevention needs have been identified through the evaluation of trends in incident and injury data, the employer needs to be able to confirm that appropriate injury prevention initiatives have been implemented. For example, changes to work systems or processes, or injury prevention training workshops.

## 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 and evaluation of safe workplace practices.

## Introduction

The most successful and sustainable workplace safety management programmes include active employee involvement and joint accountability. Health and safety works best when there is input from management, employees and their representatives, and other key people or interest groups in the workplace.

There needs to be a recognised framework for communication of health and safety interests. Whatever the health and safety forums look like, they should be made up of management, employees and employee representatives and include clear lines of communication so that relevant information is available to the whole workplace. Managers must provide opportunities for information and opinion on day-to-day workplace safety practices and concerns to be received and openly and actively considered. There must also be opportunities for employees to receive feedback from management and provide input into current health and safety information and initiatives.

Where an employer has many work areas and multiple sites, feedback must be managed in such a way that there are many opportunities for employee participation throughout the business. A multi-tier forum that looks at local regional and national health and safety meetings is advisable for large employers spread over more than one geographic location.

## Primary requirements

### 6.1.1

A forum needs to be established to enable open communication between management and employees on issues of interest and concern relating to workplace health and safety management. In many workplaces this may be in the form of a health and safety committee. Other workplaces will include health and safety as part of regular team meetings, toolbox meetings, tailgate meetings or similar.

The number of health and safety forums should be appropriate to the size, type and geographic spread of the business so that all employees have an opportunity to voice concerns and offer opinions on health and safety management issues. For large employers there may be a steering committee or executive health and safety group made up of senior managers and senior union representatives to determine health and safety policies and procedures. This group may then feedback into smaller on-site groups and vice versa.

### 6.1.2

Employers need to demonstrate that health and safety forums as outlined in 6.1.1 occur at least quarterly. This can be verified by meeting agendas, dated or sequential minutes of meetings.

### 6.2.1

A process needs to exist that clearly supports the involvement of union and other nominated employee representative health and safety development, implementation, monitoring and review. The process may include:

- how to determine who will be involved – election, and selection or endorsement processes
- responsibilities
- methods for encouraging employee participation
- time frames for involvement in the position and re-selection or election
- frequency and forum for interaction with management
- channel and process to raise issues of concern
- communication of information to other employees.

### 6.2.2

Employers will need to provide evidence that there is an agreed process with employees to elect or endorse union and other nominated employee representatives to be involved in health and safety management. If there is sufficient employee interest in being a representative, formal elections should take place. In many cases, volunteers will be sought, or existing representatives will be endorsed, to continue in their positions.

In the latter two situations the employer must be able to demonstrate that volunteers have been endorsed by employees in the work areas they represent. For example, in a workplace of forty employees, three people volunteer to be on the health and safety committee and a further three are asked by the manager to be part of the committee. The employer then posts a list of the six 'nominated' employee representatives on the staff notice board and the intranet inviting comments and feedback within a two-week period. At the end of the two weeks, feedback has endorsed the six 'volunteers' as representatives of the forty employees for the next six months.

### 6.2.3

Employers need to demonstrate that information on the process to elect or endorse employee representatives is communicated to all staff through induction information, and is readily available through staff newsletters, the policy manual, notice boards or similar.

## Secondary requirements

### 6.1.3

Employers need to demonstrate that union and other nominated employee representatives have ongoing opportunities to be involved in the development of health and safety initiatives, for injury prevention or injury management, or both. For example, management and employee representatives may agree to develop a manual handling information pack to present and discuss with employees. Planning documentation or minutes of meetings should be available to confirm this has taken place.

## Tertiary requirements

### 6.1.4

Employers need to demonstrate that there has been at least annual consultation with employee representatives in the development, monitoring and review of health and safety policies, processes and performance. For example, where employee representatives have been involved in the development of a policy concerning the management of health monitoring and testing, a signed process document or similar should be available to confirm this.

### 6.3.1

It is important that appropriate training continues to be provided to enable employees who are actively involved in health and safety management to support this function effectively. The employer needs to demonstrate that training in health and safety has been provided to employees (who are actively involved in some aspect of health and safety management) within the previous two years. This can be verified by training records, certificates, meeting agendas or similar.

For example, employees who actively support rehabilitation initiatives should have received training on best-practice workplace-based rehabilitation. Another example may be that employees who are involved in hazard management have taken part in training focused on the identification and management of workplace hazards relevant to their work areas.

## 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.

## Introduction

Effective and reliable emergency planning and responsiveness will ensure the employer is able to provide the best possible protection for all those in the workplace in the event of an emergency. The involvement of employees in emergency planning, training, testing and evaluation is an important part of protecting both people and assets, and provides assurance that information from all areas of an organisation is considered in ongoing planning and continuous improvement.

## Primary requirements

### 7.1.1

Employers need to demonstrate that they have considered the types of emergency situations that may be relevant to their particular workplace types and locations. For example, consideration of chemicals handled in a petro-chemical plant, the potential for earthquakes, or how to manage an employee who becomes seriously injured while working alone.

Please note: Evacuation of the workplace may not always be the most appropriate response for dealing with an emergency and therefore an evacuation plan alone will not meet this requirement. For example, an employer with a retail business will need to consider the most appropriate way for staff members to manage aggressive members of the public. Containment of the situation rather than evacuation may be the most appropriate response.

### 7.1.2

Employers need to demonstrate consideration of specific emergency service requirements for the emergency situations that have been identified. For example, larger employers will need to have their fire evacuation procedures approved and tested by the fire service.

### **7.1.3**

Employers need a detailed emergency plan that includes a documented response for each of the potential emergency situations identified. For example, if an employee is confronted with an aggressive member of the public, the employee must be aware of the required response to maximise his or her own safety, the safety of his or her colleagues, and the safety of members of the public.

### **7.2.1**

Employers are responsible for ensuring that all staff members are aware of how to behave safely in identified emergencies. The employer needs to be able to demonstrate that staff members have received information on the appropriate emergency response and have taken part in drills. For example, signed induction records, refresher training information, signage in the workplace, records of emergency drills.

### **7.3.1**

Employers need to ensure an up to date list of designated employees (photos optional) is available or visible in the workplace so that all employees are aware of who the designated emergency controller (warden) is for each work area.

### **7.3.2**

Employers need to confirm that designated emergency personnel (wardens) have the training and expertise to enable them to take control in an emergency situation. This can be demonstrated through internal or external training schedules and record.

### **7.4.1**

Employers need to demonstrate that emergency drills are carried out at least every six months to ensure all employees remain aware of how to react to an emergency situation and to identify areas for improvement. The employer can demonstrate this through records of evacuation drills.

Where an employer occupies only one part of a building or site and evacuation drills are not undertaken by the building or site owner at least six monthly, the employer will need to instigate evacuation drills to cover their own employees, regardless of the size of the company or who has control of the building or site.

## **Secondary requirements**

### **7.3.3**

Employers need to demonstrate that emergency review or refresher training has been undertaken with designated employees (or wardens) during the last twelve months to ensure these people remain prepared and skilled to take control in an emergency. This confirmation may be verified through certificates, records of attendance, agendas or similar.

### **7.5.1**

Debriefing meetings should occur following emergency response procedures (including drills), involving feedback from the designated emergency controllers for each area and any relevant feedback from other employees. Conformance with this requirement can be demonstrated through minutes of these debriefing meetings. The purpose of this is not to assess the appropriateness of an emergency response, but rather to confirm that consultative reviews occur.

### **7-5-2**

Where areas for improvement are identified following an emergency evacuation procedure, the employer needs to provide evidence that emergency response procedures and plans have been updated.

## **Tertiary requirements**

### **7-3-4**

In a workplace where specific, specialised emergency situations may occur, a higher level of training or knowledge is required to be able to deal with the emergency potential. Employers need to demonstrate that designated employees have received emergency training at a more specific level than for a general emergency response. For example, training on the emergency management of chemical spills, or co-ordination of the response when dealing with aggressive people.

## 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. (N.B. There are other specific duties required of the employer as a principal under the terms of the health and safety legislation that are not part of this programme's requirements.)

## Introduction

Almost all workplaces will have some interaction with contractors over the course of a year. This may vary from intermittent and limited interaction with couriers or one-off maintenance contractors, for example, to daily interactions with catering or cleaning contractors. The two key questions an employer should consider to determine whether contractors need health and safety induction and management are:

1. How much interaction will the contractor(s) have with my workplace employees and work areas?
2. Will anything that the contractor(s) does, or does not do, impact on the health and safety of my employees?

The likely health and safety impacts of the contractor's work will be dependent on the level of interaction contractors have with workplace employees. Consideration of this interaction will help employers to assess the level and type of health and safety management that a contractor will require.

For example, a one-off maintenance contractor may receive a brief induction and be accompanied throughout their time on-site. However a maintenance contractor who visits the workplace weekly may be managed through a contractual arrangement which includes health and safety responsibilities and expectations, and is monitored regularly by the employer.

## Primary requirements

### 8.1.1

Employers need to ensure there are appropriate health and safety induction procedures to manage any hazards that may be introduced into the workplace by contractors or sub contractors. Varying levels of contractor induction may be required depending on the areas of the workplace the contractor will have access to, the work being undertaken, and the level of contact with employees.

For example, standard visitor induction and escorting requirements may be sufficient for one-off maintenance-contracting jobs or couriers. However, more detailed health and safety induction would need to be provided to a contractor carrying out renovation work over a longer period of time, and working in an area where there is interaction with the workplace employees.

Employers need to have a process to induct contractors into the workplace that considers the contractor's level of involvement with employees and workplace functions. Documented induction requires sign off by the employer and contractor or subcontractor to confirm an induction has been undertaken.

### **8.1.2**

Ultimate responsibility for health and safety induction and management of contractors should be designated to a particular role or roles within the workplace, so that the health and safety information for all contractors is co-ordinated and is accurate and consistent. This responsibility may be written into the individual's job description, included in process documentation or similar.

### **8.1.3**

Employers need to demonstrate that health and safety induction training is carried out with all contractors. The depth of the induction may vary according to the type of contractor. This requirement can be demonstrated through signed induction records, contracts or similar.

## **Secondary requirements**

### **8.2.1**

A documented procedure is required to confirm that the health and safety performance of contractors is considered during the contractor selection process. For example, health and safety training or injury records may be considered, or contractors may be required to have achieved the primary standard of ACC's Workplace Safety Management Practices programme before being engaged to carry out any work with an employer.

### **8.2.2**

Contractors' management plans need to include information on their staff health and safety training, competencies and current certification and permits. In addition, a declaration should be signed by the contractor to confirm that they and their employees have current and appropriate qualifications to carry out any work that will be undertaken, and that they will work within the health and safety guidelines of the particular workplace.

### **8.3.1**

Employers need to confirm that all contracts contain health and safety responsibilities and accountabilities for contractors. Responsibilities and expectations need to be clearly set out in relation to the work being carried out to ensure contractors do not endanger workplace employees by any action or inaction. For example, the requirement to report all incidents and injuries, and the responsibility to abide by the health and safety requirements of the employer.

### **8.4.1**

Employers need to verify that the health and safety performance of contractors is actively monitored at agreed regular intervals for the duration of the contact. This can be demonstrated by minutes of meetings, site-inspection reports, checklists or similar.

#### **8.4.2**

In situations where a contractor reports incidents, injuries or potential hazards, the employer needs to provide evidence that this information is fed back into hazard management. This can be demonstrated by updated hazard registers, incident and injury reports and investigations or similar.

### **Tertiary requirements**

#### **8.5.1**

It is important that post-contract evaluations include a review of the health and safety performance of the contractor in order to identify areas for improvement. This may include review of incident and injury data relating to hazards introduced by the contractor and review of health and safety monitoring reports.

Employers are required to have a process to evaluate a contractor's health and safety performance on completion of contracts. While this may not be applicable for one-off short-term contracts, ongoing contracts which do not specify a completion date (for example, cleaning or maintenance contracts), should be evaluated at least annually to determine whether health and safety performance is acceptable.

#### **8.5.2**

Where contracts have been completed, the employer needs to demonstrate that health and safety performance has been part of post-contract evaluations. This can be verified by exit interviews, review checklists of health and safety performance or similar.

**CRITICAL ELEMENT 9.**

# Workplace observation – confirmation of safe systems in action

## Objective

Under this section, there are a few systems-related requirements that need to be observed on each selected site that is visited as part of the audit. This will provide some indication of how the documented systems work in practice. (This is NOT a detailed site inspection and should not be relied on to satisfy legal compliance with other health and safety obligations.)

Details of requirements	The auditor will observe the following
1. The auditor is able to observe some selected audit standard requirements in practice.	<ol style="list-style-type: none"><li>1. Hazard registers.</li><li>2. Evidence of assessment of hazards to determine their significance.</li><li>3. Current safety information on display.</li><li>4. Incident and injury (accident) registers available in the workplace (hard copy or electronic).</li><li>5. Forms completed (where applicable).</li><li>6. Evidence of personal protective equipment in use according to what is appropriate to the area visited.</li><li>7. Restricted areas of work are clearly marked.</li><li>8. Escorting and signing requirements are in place for restricted areas of work.</li><li>9. Emergency evacuation procedures are clearly outlined (e.g. signs, posters, designated listed employees trained to take control in an emergency e.g. wardens, first aiders).</li><li>10. Emergency exits are clearly marked.</li><li>11. Emergency equipment is clearly marked and current.</li><li>12. Security log books, visitor registers (or similar) are provided.</li><li>13. Personal protective equipment is available for site visitors (where applicable).</li></ol>

**Please note:** Primary level is the highest level of achievement in this critical element.

The auditor will look at each of the workplace observation requirements during a walk-around at each site selected for the audit. This element seeks to observe some practical examples of workplace behaviour that will confirm the systems information that is reviewed.

**CRITICAL ELEMENT 10.**

# Focus group interview – confirmation of safe systems in action

## Objective

The employer is able to confirm and validate hazard management systems through management and employee focus groups

Details of requirements	Suggested prompts
1. There is an understanding of what constitutes a hazard in the workplace.	<ul style="list-style-type: none"><li>• Tell me about the hazards in your area?</li><li>• What are some hazards in your workplace?</li></ul>
2. There is an understanding of the process for hazard identification.	<ul style="list-style-type: none"><li>• How do you identify hazards in your workplace?</li></ul>
3. There is an awareness of respective responsibilities in the identification of hazards.	<ul style="list-style-type: none"><li>• Who is responsible for identifying hazards in your workplace?</li><li>• What do you do if you identify a hazard?</li><li>• What do you do if an injury occurs in your area?</li></ul>
4.* There is an understanding of the term 'significant hazard' and the hierarchy of controls in the management of these hazards.	<ul style="list-style-type: none"><li>• Are there some hazards in the workplace that are more serious than other hazards?</li><li>• How do you decide if one hazard is more serious than another hazard?</li><li>• Tell me about you might deal with these hazards?</li></ul>
5. There is an understanding of reporting and recording requirements.	<ul style="list-style-type: none"><li>• What do you do if you have an injury at work?</li><li>• How do you report injuries?</li><li>• Where do you record injuries?</li></ul>
6. There is an understanding of investigation including designated responsibilities and the role of the injured employee and the manager concerned.	<ul style="list-style-type: none"><li>• Tell me about an injury that has happened in your workplace?</li><li>• Who reported it?</li><li>• What happened?</li><li>• Were you involved in the investigation?</li><li>• What did this involve?</li></ul>

*Continued ...*

**Please note:** Primary level is the highest level of achievement in this critical element.

Details of requirements	Suggested prompts
7. There is an understanding of the responsibilities for corrective action resulting from an injury or incident investigation.	<ul style="list-style-type: none"> <li>• Did you get any feedback from the injury investigation?</li> <li>• What changes have occurred in the workplace following the investigation?</li> <li>• Did any training occur following the investigation?</li> <li>• Who was involved in this?</li> </ul>
8.* There is an understanding of how to initiate rehabilitation support and assistance for any injured employees.	<ul style="list-style-type: none"> <li>• When someone is injured at work ACC becomes involved, what happens in terms of his or her ongoing employment?</li> <li>• Does your employer consider alternative duties?</li> </ul>
9. There is an understanding of the process for union and other nominated employee representation and the way in which to raise health and safety issues.	<ul style="list-style-type: none"> <li>• If you have a health and safety concern, who do you contact?</li> <li>• How do you let others know about your concerns?</li> <li>• Do you have a health and safety committee (or similar forum)?</li> <li>• Who represents you on health and safety matters?</li> <li>• How are they chosen?</li> </ul>
10. There is an understanding of the emergency procedures in the workplace.	<ul style="list-style-type: none"> <li>• What do you know about the emergency procedures in the workplace?</li> <li>• What types of emergencies are covered?</li> <li>• How often do you have drills?</li> <li>• Do you know who the employees are who would take control in an emergency?</li> </ul>
11.* There is an understanding of how to initiate rehabilitation and of the support available from management for the early return to work of injured employees.	<ul style="list-style-type: none"> <li>• Why is early return to work after an injury important?</li> <li>• Why is it good for your employer to be involved in your rehabilitation?</li> <li>• What does it mean if a person is doing alternative duties?</li> <li>• Tell me about any employees who have come back to work on alternative duties.</li> <li>• Who was involved in this process?</li> </ul>

\*While these questions may be asked at the management and employee focus groups, primary responsibility for understanding rests with the management focus group.







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