



# ACC Workplace Safety Management Practices Programme

## AUDIT STANDARDS EFFECTIVE FROM 1 APRIL 2002

We include the following disclaimer in the introduction to the audit standards:

“Conformance to the programme standards set out in the audit tool should not be relied on to satisfy compliance with legal and other obligations of the employer. It is the responsibility of the individual employer to be satisfied that these legal and other obligations are met.”

Within the standard there are three measurable levels of performance:

<b>primary</b> = Programme entry level requirements	
<b>secondary</b> = consolidation of good practice	
<b>tertiary</b> = continuous improvement, best practice framework	no shading

Shading used throughout the standards indicates the levels as above.

The employer needs to meet the primary level requirements as detailed in each section of the standard to gain entry to the ACC Workplace Safety Management Practices Programme, and continue to meet these requirements in subsequent annual audits to remain in the ACC Workplace Safety Management Practices Programme.

## Independent audit summary

Name of company or organisation: Massey University

Contact person: Doug Pringle Health and Safety Manager

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Address: Private Bag 11 222 Palmerston North NZ 4442

Date(s) of audit: 22.02.11

Audit completion date: 22.02.11

Location(s) of audit: Albany Campus

**NOTE: The final decision regarding the level of conformance to the Workplace Safety Management Practices audit standard will be made by ACC following consideration of all relevant information.**

It is my recommendation that the above named employer:

meets the audit requirements of the ACC Workplace Safety Management Practices Programme to the following level

Primary     Secondary     Tertiary

does not meet the audit requirements of the ACC Workplace Safety Management Practices Programme

Summary of workplace information:

Massey University is an accredited learning and research institution whose main campus is located in Palmerston North.

The Albany campus was the site chosen for the 2011 audit. This campus has approximately 383 full-time staff and 157 part-time staff

There are two main unions at this workplace (the Tertiary Education Union and the PSA) and some minor unions such as the NZ Food Workers Union.

The health and safety system is managed at the Albany campus by the Health and Safety Advisor who facilitated the audit along with the University's Palmerston North based Health and Safety Manager.

The key hazards at this workplace mostly relate to hazards within an educational institution including manual handling; ladders, slippery floors and laboratory equipment. Some of these hazards and their controls are reported in detail in element 3 of this report.

The health and safety system was assessed on-screen in the main via the University's intranet, supported by hard copies of some policies and procedures and system records.

There were a significant number of tertiary elements achieved.

A recommendation is made for **Secondary** level achievement.

Is this an initial audit? (tick as appropriate)	✓ Is this a renewal audit? (tick as appropriate)
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**ACC Approved Auditor Details:**

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Date: 28.02.11	
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Auditor signature: <i>R G (Bob) Soper</i>	Date: 28.02.11

Summary of results	Level Demonstrated
<b>Safety Management Practices</b>  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 10. Focus Group Interviews	Secondary Secondary Tertiary Tertiary Tertiary Tertiary Tertiary Tertiary Primary Primary
Number of focus groups:	Two

## Critical element one

### – Employer commitment to safety management practices

#### (AS/NZS 4801:2001 Section 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.	YES
2. The policy is authorised by current CEO or other senior management* representatives.	1. Appropriate signature, position and date.	YES
	2. Process for senior management* to review policy document at least every two years.	YES
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.	YES
4. The policy includes specific understanding of management responsibilities for health and safety.	1. Policy document includes management commitment to health and safety.	YES
	2. Specific health and safety co-ordination roles are designated at senior management* level.	YES
	3. Management positions are reviewed against the performance of designated health and safety responsibilities.	YES
	4. Evidence that individual management performance has been reviewed against health and safety responsibilities.	NO
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.	YES
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.	YES
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.	YES
	2. Records of this requirement included in performance review of management roles.	YES

8. There is commitment to continuous improvement in health and safety.	1. Indicative statement in policy document.	YES
	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).	YES
	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).	NO
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).	YES
	2. Evidence that senior management* have been involved in health and safety (e.g. seminars, briefings, conferences, training sessions) within the previous two years.	NO
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.	YES
	2. Information provided to management staff on how to support safe and early return to work.	YES
	3. Evidence of management involvement in supporting safe and early return to work (where applicable).	N/A

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.

<b>Employer commitment to safety management practices</b>
<b>Standard achieved:</b> <u>Secondary level achieved</u>
<b>Comments:</b> <p>A health and safety policy is documented, signed by the Vice Chancellor in 2010. The policy is reviewed every two years as stated in the document control procedure in the policy footer.</p> <p>The policy makes reference to managerial commitment to health and safety; responsibilities; a commitment to employee participation and consultation; accurate reporting of accidents; continuous improvement and a safe and early return to work. Detailed procedures are documented in a Rehabilitation Policy for managing a safe and early return-to- work after an injury.</p> <p>There is a performance review system in place for managers that includes a health and safety component. Managers have broad statements relating to health and safety responsibilities including Staff Conduct requirements that require managers at all levels to keep “honest and true records”.</p> <p>A statement of commitment relating to having an understanding of health and safety relative to managerial positions is also documented. However no examples of performance reviews were presented for assessment.</p> <p>There is a process to continually review all policies on a two yearly basis to ensure effectiveness. Dates of review and the next review date are included in the document control mechanisms.</p> <p>There has been no opportunity to be involved in supporting a safe and early return to work over the past year; therefore element 1.10.3 is deemed <b>Not Applicable</b>.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> <p><b>1.4.4:</b> Ensure examples of managerial performance reviews are available for future assessments.</p> <p><b>1.8.3:</b> Develop and implement a system for recognising excellence in health and safety (i.e. newsletters/emails/memos).</p> <p><b>1.9.2:</b> Ensure records of senior management training are kept for future audits (seminars/courses/qualifications relating to health and safety).</p>

## Critical element two

### – Planning, review and evaluation

#### (AS/NZS 4801:2001 Section 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.	YES
	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.	YES
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.	YES
	2. Procedure to review objectives annually.	YES
	3. Evidence that health and safety objectives have been reviewed.	YES
	4. Evidence that senior management* and union* and other nominated employee representatives* have been included in annual review and setting of objectives.	YES
3. There is an established consultative process to review and evaluate the effectiveness of hazard management.	1. Process or planning documents (or similar).	NO
	2. Minutes, schedules (or similar) to show there is annual review of the effectiveness of hazard management processes.	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.	YES
	2. Process in place to ensure compliance or conformance with relevant requirements.	YES
	3. Evidence of regular review to identify and accommodate any changes in requirements.	YES
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.	YES
	2. Evidence that a self-assessment has been undertaken within the previous 12 months (may be immediately prior to initial entry audit).	YES

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.



<b>Planning, review and evaluation</b>
<b>Standard achieved:</b> <u>Secondary level achieved</u>
<b>Comments:</b> <p>There is a process documented to review health and safety management annually through the performance appraisal process of managers and Health and Safety Advisors. An annual report is generated for the Senior Leadership Team that includes statistical data and system results. The most recent report sighted is dated 2009. The 2010 report is soon to be concluded.</p> <p>Organisational objectives are developed including health and safety under 'big goal' indicators. Health and Safety objectives are prioritised as 'projects' and action plans are developed (i.e. Teaching and Learning-managerial health and safety training).</p> <p>Objectives are developed by the health and safety teams and signed off by the Leadership Team. Objectives include input into the 2011 Annual Plan from union and health and safety representatives.</p> <p>The University's Health and Safety Manager is the conduit to ensure that the University has access to up-to-date information including any changes in legislation using applicable web-sites and publications. The review process is continuous.</p> <p>Procedures are documented for the annual self-assessment. An assessment records has been completed for 2009/2010 within the internal audit process against criteria standards.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> <p><b>2.3.1/2.3.2:</b> Develop and implement a consultative process for evaluating the effectiveness of hazard management and keep records for future assessments.</p>

## Critical element three

### – Hazard identification, assessment and management

#### (AS/NZS 4801:2001 Section 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.	YES
	2. Review of hazard registers to support process in action.	YES
	3. Records of regular review of the hazard identification and recording process.	YES
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.	YES
	2. Process to demonstrate the identification of significant hazards* and evidence of implementation of this process.	YES
	3. The hazard register (or similar) identifies which hazards are significant.	YES
3. There are appropriate controls in place for each significant hazard based on the hierarchy in the health and safety in employment legislation to either:  (a) Eliminate the hazard completely;  (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.	YES
	2. Details of controls developed for significant hazards*.	YES
	3. Process for the issue, renewal and maintenance of safety equipment related to significant hazards* including personal protective equipment.	YES
	4. Evidence that controls developed for significant hazards* are based on appropriate documentation or advice (where applicable).	YES
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.	YES
	2. Evidence of ongoing training or increased experience for people leading hazard management that has occurred within the previous two years.	YES

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).	YES
	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.	YES
	3. List or information about availability of internal or external health and safety specialist advice (where applicable).	YES
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.	YES
	2. Responsibilities assigned for ensuring timetable is met and signed off at each period.	YES
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.	YES
	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.	YES
	3. Evidence of health and safety issues incorporated into purchasing and design decisions (where applicable).	N/A
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).	YES
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.	YES
	2. Process to undertake baseline monitoring of health in relation to identified tasks and to notify results to employees (e.g. hearing tests, lung function tests).	YES
	3. Process for post-critical event testing and exit testing.	YES
	4. Process to manage sub-optimal test results that includes consideration of individual medical and vocational needs.	YES
	5. Process to feed back sub-optimal results into hazard management.	YES
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.	YES
	2. Documented rationale and process for pre-employment health screening that is linked to specific significant hazards* (where applicable).	YES

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.	YES
	2. Signage, security logbooks or visitors' registers available as appropriate to specific areas of the workplace or escorting restrictions and induction for site visitors.	YES
	3. Evidence that emergency procedures are covered with site visitors.	YES
	4. Provision of appropriate personal protective equipment for visitors to the site (e.g. goggles, "hi-viz." vests).	N/A

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.

<b>Hazard identification, assessment and management</b>
<b>Standard achieved:</b> <u>Tertiary level achieved</u>
<p><b>Comments:</b></p> <p>Procedures are held on the organisation's web-site. These procedures were also available for review in hard copy.</p> <p>Each area has their own hazard register that are reviewed or prompted to review at least annually. The hazard registers assessed are documented in standard format.</p> <p>A documented definition of significance on the web-site according to New Zealand legislation.</p> <p>Hazards are identified by the use of a scoring system and significant hazards are identified in each register.</p> <p>Procedures include hazard identification and the inclusion of the standard controls (eliminate, isolate and minimise).</p> <p>Some stated controls are based on applicable Codes of Practice. Links to various significant hazards have been established. The guidelines from the Ministry of Education are also relevant for established field work controls of identified hazards.</p> <p>Procedures are documented for the issue and use of PPE. This policy was reviewed on-screen and makes reference to staff and students on campus.</p> <p>The Health and Safety Advisor has attended a variety of health and safety training events throughout 2009/2010. Records of attendance were assessed on-file.</p> <p>Records for representative training were also sighted in hard copy. This training supported qualifications for people leading hazard management.</p> <p>Procedures are documented for supporting the use of specialist advice. Many advisors are employed by the University and can be used by departments.</p> <p>Hazard registers include the person(s) responsible for identifying and monitoring work place hazards.</p> <p>The procurement procedures make reference for managing hazards relating to new or modified equipment. No evidence of incorporating health and safety into the purchasing procedures were available on the day of the audit; therefore element 3.7.3 is deemed <b>Not Applicable</b>.</p> <p>Procedures include employee participation in the actual hazard management process.</p> <p>Procedures are documented for staff health monitoring (an if and when clause). However the procedure is complete and detailed and considers feedback into the hazard management system when appropriate.</p> <p>Procedures make reference to base-line screening depending on the role the employee is engaged for, via the employment process.</p> <p>The campus is well signed for visitors and department visitors are required to sign the visitor's book and read the accompanying information. A verbal briefing relating to the evacuation/assembly point is given.</p> <p>PPE is not generally required for visitors; therefore element 3.11.4 is deemed <b>Not Applicable</b>.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Hazard management observation summary table

Significant hazard identified by the workplace	*Basic method of control selected by the workplace to	Details of controls recorded by the workplace	*Auditor's observation of controls in practice
1. Workstations (Facilities Management)	Eliminate Isolate <input checked="" type="checkbox"/> Minimise	<ul style="list-style-type: none"> <li>• Regular breaks</li> <li>• Information about discomfort</li> <li>• Early reporting of discomfort</li> <li>• Habit-at-Work</li> <li>• Workstation assessments</li> </ul>	<input checked="" type="checkbox"/> Mostly observed Partially observed No evidence observed
2. Manual handling (Facilities Management)	Eliminate Isolate <input checked="" type="checkbox"/> Minimise	<ul style="list-style-type: none"> <li>• Use lifting aids</li> <li>• Store heavy items at waist level</li> </ul>	Mostly observed <input checked="" type="checkbox"/> Partially observed No evidence observed
3. Ladders (Facilities Management)	Eliminate <input checked="" type="checkbox"/> Isolate <input checked="" type="checkbox"/> Minimise	<ul style="list-style-type: none"> <li>• Ladder checks</li> <li>• Use harness over 3 metres</li> <li>• Staff awareness</li> </ul>	Mostly observed <input checked="" type="checkbox"/> Partially observed No evidence observed
5. Walk-in freezer (Laboratory)	Eliminate Isolate <input checked="" type="checkbox"/> Minimise	<ul style="list-style-type: none"> <li>• Regular maintenance</li> <li>• PPE for cold when required</li> <li>• Inside door handle for exiting</li> </ul>	Mostly observed <input checked="" type="checkbox"/> Partially observed No evidence observed

(\*delete the non-applicable options)

**Recommended outcome**

Overall it was observed at the time of the workplace review that the above-identified significant hazards were being managed in accordance with the management systems documented in the workplace.

**YES**

## Critical element four

### – 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"> <li>– Emergency procedures</li> <li>– Incident and injury reporting</li> <li>– Hazard identification</li> <li>– Employer and employee responsibilities</li> <li>– The process for employee health and safety representation</li> <li>– Information about the health and safety forum/s</li> <li>– Designated roles for health and safety and rehabilitation</li> <li>– Work injury claims process</li> <li>– Rehabilitation responsibilities</li> <li>– Use and maintenance of relevant health and safety equipment, including personal protective equipment (eg, checklist, training information).</li> </ul>	YES
	2. Signed employee induction training records (or similar individual verification).	YES
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).	YES
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.	YES
	2. Signed employee training records (or similar individual verification).	YES
	3. Evidence that task-specific training has occurred (e.g. certification, training records or similar where applicable).	YES
	4. A process for "bring-up" reminder facility for recurring training or certification requirements including assignment of responsibilities for this process.	YES



	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).	YES
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.	YES
	2. Records of internal trainer's skills, experience or qualifications.	YES
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).	YES
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).	YES
	2. Dates on health and safety documents at operational sites.	YES
	3. Role-specific responsibilities to review health and safety documentation control.	YES
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).	YES
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.	YES
	2. A process for the clear designation of responsibility for supervision of new employees.	YES

<b>Information, training and supervision</b>
<b>Standard achieved:</b> <u>Tertiary level achieved</u>
<b>Comments:</b> <p>Procedures are documented for staff inductions including guidelines for managers. The process generally takes three months. The content of the induction process is documented and meets WSMP requirements. Training required relating to health and safety is discussed during week one. A staff booklet that summarises the web-site requirements is also in the system (a Quick Guide).</p> <p>Records of induction are held by the local Health and Safety Advisor. The standard agenda for inductions was reviewed. Managers and new employee induction records are held at Massey, Palmerston North. Examples of completed records were assessed on the day of the audit. Records of “new starters” from the data-base were assessed; managed by Human Resources at Palmerton North.</p> <p>Task specific training includes first aiders and specialist laboratory technicians. Records are held on the University’s web-site.</p> <p>Individual records are held on personal files. Print outs include bring-up dates for refresher training.</p> <p>Procedures are documented for both the selection of both internal and external trainers.</p> <p>The Manager Health and Safety based in Palmerston North is the designated document controller. The electronic versions are the “master copy”.</p> <p>Information is generally given or available for staff via emails and/or the intranet. An example email dated 14 February 2011 supported the system of electronic communication.</p> <p>Department supervisors or mentors are assigned to individual staff members from an on-the-job supervision perspective.</p> <p>Competency based training is carried out with some employees using Unit Standards as the expected standard (HSNO training records sighted dated 7 January 2010) and first aid training are also assessed against Unit Standards.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Critical element five

### – Incident and injury reporting, recording and investigation

#### (NZS/AS 4801:2001 Section 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.	YES
	2. Incident and injury (accident) reporting forms.	YES
	3. On-site incident and injury (accident) registers.	YES
	4. Procedures requiring early and prompt attention to all reported incidents and injuries.	YES
	5. Collation of all injury and incident data into a central record for analysis.	YES
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 on-line).	YES
	2. Staff communications, team briefings, health and safety meeting minutes.	YES
	3. Examples of completed incident and injury reports (where applicable).	YES
3. When a serious harm injury occurs to an employee the Occupational Safety and Health Service (OSH) of the Department of Labour 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 OSH including documented responsibility for notification.	YES
	2. Example(s) of notification within required timeframe when a serious harm injury has occurred (where applicable).	YES
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.	YES
	2. Designated incident and injury (accident) investigators.	YES
	3. Incident and injury (accident) investigation forms (forms in hard copy or on-line).	YES
	4. Incident and injury (accident) investigation example reports (where applicable).	YES

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.	YES
	2. Feedback into hazard management included in the process.	YES
	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).	YES
	4. Evidence of senior management* involvement and follow-up (e.g. management minutes or communications).	YES
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).	YES
	2. Evidence of at least six monthly review of collated data (e.g. minutes of meetings, distribution of findings to management and employees).	YES
	3. Evidence of injury prevention initiatives implemented where relevant (e.g. changes in work practices, specific training).	YES

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.

<b>Incident and injury reporting, recording and investigation</b>
<b>Standard achieved:</b> <u>Tertiary level achieved</u>
<b>Comments:</b> <p>Procedures are documented for reporting accidents and incidents. The procedure is also documented in flow-chart format. A standard accident/incident report form is used routinely. Part B of the form includes the investigation process. Forms are available from the web or in departments in hard copy format.</p> <p>All data is saved into the Human Resource database at the Palmerston North Campus. The Manager Health and Safety is responsible for trend analysis.</p> <p>Examples of completed accident reports were sighted on-file from the Albany Campus. All local (Albany) accidents are recorded in the local accident register. Accidents are discussed at two monthly health and safety meetings.</p> <p>Procedures include the reporting of serious harm to the DoL. Manager guidelines for reporting are also documented.</p> <p>The organisation has had five serious harm accidents overall. However no employee serious harm accidents (as documented in the briefing paper from ACC) were from the Albany campus.</p> <p>Investigation procedures are documented (investigators are stated in the procedures and depend on level of investigation; usually the local Health and Advisor) Completed forms were assessed on-file. The process includes corrective actions and feedback into the hazard management system. Actions are time bound, signed and dated in the main. The process includes sign-off by the local Health and Safety Advisor.</p> <p>Statistical data is reported annually during the annual review by the Manager Health and Safety in Palmerston North; however the local Health and Safety Advisor does review accidents/incidents on a two monthly basis. Records/reports of these were sighted on-screen for Albany.</p> <p>An example of a recent injury prevention initiative includes the application of 'netting' to wooden steps and/or the grinding/etching of tiled steps to reduce the possibility of slips, trips and falls during wet weather.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Critical element six

### – 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).	YES
	2. Evidence of frequency of forum(s) at least quarterly (not applicable for new applications).	YES
	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).	YES
	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).	YES
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.	YES
	2. Evidence of agreed process to elect or endorse union* and other nominated employee representatives* to support health and safety.	YES
	3. Evidence that information on this process is readily available and communicated to all staff.	YES
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.	YES

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.

<b>Employee participation in health and safety management</b>
<b>Standard achieved:</b> <u>Tertiary level achieved</u>
<b>Comments:</b> The University has a two level approach; the Executive Health and Safety Advisory Committee (meets two monthly). The second level is the “workplace” committee that meets quarterly. The workplace committee is represented on the Executive Committee. The University as a whole has a Safety Consultative Committee where all campuses are represented on the Safety Consultative Committee (which meets twice a year). Meeting minutes from all forums verified the consultative process including adequate opportunity for joint involvement in injury prevention initiatives. Procedures for election to the various forums are documented in the Employee Participation Agreement dated December 2008. Some members of the committee have received representative training within the past two years as evidenced by a data base printout from 1 January 2009 to 31 December 2010 (Hazard Management Training).
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Critical element seven

### – 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).	YES
	2. Evidence of consideration of emergency service requirements.	YES
	3. An emergency plan that includes the response required for the relevant identified emergency situations.	YES
2. Emergency procedures have been implemented and communicated to all employees and contract staff.	1. Evidence that the emergency procedures have been implemented and communicated (e.g. signage, communications, training).	YES
3. Designated employee/s or wardens for each work area trained to take control in an emergency.	1. List of designated employees known to all staff.	YES
	2. Training schedules and records.	YES
	3. Evidence that review or refresher emergency training has been undertaken with designated employees within the previous year.	YES
	4. Evidence of specific emergency training for designated staff according to identified potential emergencies in the workplace (e.g. civil defence emergency training, advanced first aid certificates).	YES
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.	YES
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.	YES
	2. Evidence of update to procedures and plans (where applicable).	YES



<b>Emergency planning and readiness</b>
<b>Standard achieved:</b> <u>Tertiary level achieved</u>
<b>Comments:</b> <p>There is an emergency plan for each campus including Albany. Consideration has been given in flip chart format to fire, hazardous material alerts, bomb threats, disasters and confrontations.</p> <p>The local plan is held on the web-site as well as a hard copy. The plans meet the requirements of the emergency services.</p> <p>Adequate visual procedures are displayed in all buildings on campus including wardens' duties.</p> <p>The most senior staff member is regarded as the "area warden". Wardens are designated by position; not names.</p> <p>Fire warden training is given to all employees to cater for the senior position process of warden designation. Records of continuous training were sighted as per an email dated 19 August 2010 (within the previous two years). De-briefs of designated wardens are undertaken after each trial evacuation.</p> <p>Trial evacuations are undertaken by an external organisation on a building by building basis over a two day time frame. Records verified trial evacuations in March and September of each year.</p> <p>Evidence of improvements from the trial evacuations was evident in some evacuation reports.</p> <p>Laboratory staff and the emergency teams receive specific emergency training during laboratory seminars. Records of activities include individual photographs of the specific emergency training.</p> <p>Records of a de-brief from a medical emergency were also assessed on-file.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Critical element eight

### – Protection of employees from on-site work undertaken by contractors and subcontractors

#### (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 principal under the terms 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.	YES
	2. Designated person(s) to co-ordinate health and safety induction for contractors.	YES
	3. Evidence of completed contractor induction (where applicable).	YES
2. Criteria to select and manage contractors include assessment of health and safety performance.	1. Documented procedures (e.g. selection checklist or similar).	YES
	2. Contractor plans include: <ul style="list-style-type: none"> <li>– Staff training and competencies</li> <li>– Current certification and permits</li> <li>– Declaration of the above signed by contractor.</li> </ul>	YES
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).	YES
4. There is a process to actively monitor the health and safety performance of the contractor at agreed regular intervals for the duration for 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 work site health and safety performance including dates and responsibilities.	YES
	2. Evidence of feedback from the contractor into hazard identification and incident and injury reporting (where applicable).	N/A
5. Post-contract evaluations include health and safety as part of the evaluation.	1. Process for post-contract evaluation.	YES
	2. Evidence of completed post-contract evaluations (where applicable).	YES

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

**Standard achieved:** Tertiary level achieved

**Comments:**

A policy is documented for managing on-site contractors on-the-job.

All contractors are given a contractor health and safety handbook that is detailed and comprehensive.

The Albany campus has a Project Manager for major capital works and one for minor capital works and maintenance.

All contractors are required to sign page 12 of the handbook to acknowledge their health and safety obligations. Sign-off of obligations includes both the contractor and the Project Manager/Officer.

Signed records were assessed on-site. The web-site policies include selection criteria and contractor plans include training, competencies and permits. Contracts sighted included health and safety responsibilities.

The Project Managers carry out regular on site visits to contractors. Procedures are documented for contract monitoring.

There has been no evidence of any feedback into the University's hazard management system therefore element 8.4.2 is deemed **Not Applicable**.

Procedures are documented for post contract evaluations and records of these evaluations were assessed in contractor files.

**Critical issues:** Nil

**Recommendations for improvement:**

- It is acknowledged that major contractors are monitored via monthly meetings with Project Managers and records are kept of these meetings. Also that minor contractors are monitored by project Managers using the hot-work card sign-off system routinely. However it is recommended that consideration is given to either including 'contractor safety performance' as an agenda item at the health and safety meetings or carrying out an annual review of the preferred contractor list to essentially validate all contractor safety performance on-site over a planned period.

## Critical element nine

### - 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 independent audit. This will provide some indication of how the documented systems work in practice.

(NB: 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	Verified by	Achieved Yes/No
1. The auditor is able to observe some selected audit standard requirements in practice.	1. Hazard registers.	YES
	2. Evidence of assessment of hazards to determine their significance.	YES
	3. Current safety information on display.	YES
	4. Incident and injury (accident) registers available in the workplace (hard copy or electronic).	YES
	5. Forms completed (where applicable).	YES
	6. Evidence of personal protective equipment in use according to what is appropriate for the area visited.	YES
	7. Restricted areas of work are clearly marked.	YES
	8. Escorting and signing requirements are in place for restricted areas of work.	YES
	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).	YES
	10. Emergency exits are clearly marked.	YES
	11. Emergency equipment is clearly marked and current.	YES
	12. Security logbooks, visitor registers (or similar) are provided.	YES
	13. Personal protective equipment is available for site visitors (where applicable).	N/A

<b>Workplace observation</b>
<b>Standard achieved:</b> <u>Primary level achieved</u>
<b>Comments:</b> <p>The University campus in Albany is a large multilevel site consisting of lecture rooms, administration/support offices and laboratories and numerous student and staff car-park.</p> <p>Each department has its own specific hazard register that has been documented in a standard format that meets the requirements of the criteria. Registers are also available on-line.</p> <p>There are some notice-boards which display some relevant health and safety information; however most communication is electronic via the intranet.</p> <p>Copies of incidents and accident records were reviewed from the Albany campus in hard copy on-file from the previous audit period.</p> <p>Some evidence of personal protection equipment was observed during the on-site evaluation particularly in a laboratory (safety glasses and gloves for example).</p> <p>The visitor system requires all visitors are to be signed-in at the reception desk at Facilities Management and read the supplied emergency information with the name tag. Verbal instruction with respect to emergency assembly points was also given at the beginning of the audit.</p> <p>Emergency evacuation procedures are on public display throughout the campus and staff areas. Emergency exits are clearly marked throughout.</p> <p>Emergency equipment which includes fire extinguishers. These are managed by an external agency and were signed and current.</p> <p>Personal Protective Equipment is not required for visitors; therefore element 9.1.13 is deemed <b>Not Applicable</b>.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None

## Critical element ten

### – 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	Achieved Yes/No
1. There is an understanding of what constitutes a hazard in the workplace.	YES
2. There is an understanding of the process for hazard identification.	YES
3. There is an awareness of respective responsibilities in the identification of hazards.	YES
4. #There is an understanding of the term "significant hazard" and the hierarchy of controls in the management of these hazards.	YES
5. There is an understanding of injury and incident reporting and recording requirements.	YES
6. There is an understanding of injury or incident investigations including designated responsibilities and the role of the injured employee and the manager concerned.	YES
7. There is an understanding of the responsibilities for corrective action resulting from an injury or incident investigation.	YES
8. #There is an understanding of how to initiate rehabilitation support and assistance for any injured employees.	YES
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.	YES
10. There is an understanding of the emergency procedures in the workplace.	YES
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.	YES

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

\* Please refer to the definitions in the ACC Workplace Safety Management Practices audit standards.

<b>Focus group interview summary</b>
<b>Standard achieved:</b> <u>Primary level achieved</u>
<b>Number of focus group interviews undertaken:</b> Two
<b>Positions and interests represented in the <u>employee</u> focus group(s):</b> <ul style="list-style-type: none"> <li>· A Laboratory Technician</li> <li>· Two Administrators</li> <li>· A Senior Tutor</li> </ul>
<b>Positions and interests represented in the <u>management</u> focus group:</b> <ul style="list-style-type: none"> <li>· A Laboratory Manager</li> <li>· The Campus Librarian</li> <li>· The Regional Director</li> <li>· The Manager of the Health and Counselling Centre</li> <li>· A Regional Director – College</li> <li>· The Facilities Director</li> <li>· An Executive Assistant</li> <li>· A Departmental Manager</li> </ul>
<b>Summary comments from focus group interviews:</b> <p>Both the management and employee focus groups understood the purpose of the organisation's documented health and safety systems and how the identified hazards fitted into the hazard management process. All interviewees were able to give an example of a significant hazard and discuss the various methods of control. The key principles of eliminate, isolate and minimise were discussed.</p> <p>All interviewees understood how to report an accident or incident using the forms and how to access the report forms either in hard copy or off the intranet. All participants had an understanding of the investigation process and the link between the investigation process and the principles of corrective and preventative actions.</p> <p>All interviewees were well aware of the process of rehabilitation and how the University may assist ACC with any rehabilitation plans. The concept of a safe and early return to work was also confirmed and there was some understanding of the processes of alternative duties during the rehabilitation period when necessary.</p> <p>The regular emergency trial evacuations were discussed and also verified at each focus group. All interviewees knew where the assembly points were located.</p> <p>Overall the employee focus group were satisfied with the process of the current participation and the structure of the health and safety committee. They were knowledgeable about the health and safety systems overall.</p> <p>The Management Focus group were aware of their responsibilities to the university and the employees under their span of control.</p> <p>Both focus groups were very communicative and very little prompting was necessary to keep the discussion flowing. Both groups exceeded the primary level requirement for this element.</p>
<b>Critical issues:</b> Nil
<b>Recommendations for improvement:</b> None