



ACC Workplace Safety Management Practices Programme

Greater Wellington Regional Council

ACC Number: G3386894E
Renewal Audit
13 December 2013

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:

primary = Programme entry level requirements	
secondary = consolidation of good practice	
tertiary = 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

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Address:	PO Box 11646, Manners St, Wellington 6142
Date(s) of audit:	26 November 2013, 4 December and 13 December 2013
Audit completion date:	13 December 2013
Location(s) of audit:	Upper Hutt Depot, 1056 Fergusson Drive, Maoribank, Upper Hutt. Water Supply Operations Centre, Level 6, IBM House, 25 Victoria Street, Petone. Waterloo Water Supply Treatment Plant, Oxford Terrace, Waterloo.

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:

The Greater Wellington Regional Council (the GWRC) undertakes a number of responsibilities for the region's natural resources and environment as a whole. This includes flood protection, pest management, land transport planning, public transport services, harbour navigation and safety, sustainable economic development, marine pollution and regional parks.

The GWRC covers Wellington, Kapiti Coast, Porirua, Tawa, Lower Hutt, Upper Hutt and Wairarapa.

The GWRC has been affected by the earthquakes this year. They had to permanently relocate the head office from their Wakefield Street building because the building suffered earthquake damage. The head office was reunited in a new building located at Shed 39, CentrePort last month. One building in the Masterton office did not meet the earthquake rating in the building code and was demolished. The BioWorks team who occupied that building, were temporary located to leased premises and were moved to permanent premises later in the year. The main Water Supply Group were relocated to new premises at level 6, IBM House, in Petone as the Waterloo building did not meet the prerequisite earthquake rating in the building code.

GWRC staff were also very busy repairing parks and felling trees from the June storms.

The GWRC has 520 staff and 30 of these staff are located in the Upper Hutt Depot . Approximately 50 staff work are located in the Water Supply Group offices and operations centre in Petone.

At the Upper Hutt Depot, there are staff from the biosecurity, parks and forestry departments.

A change that has occurred since the previous audit is the civil defence and emergency management staff from Territorial Authorities across the Wellington region are now centralized and employed by the GWRC.

Through an internal secondment, a new position was created for Senior Health and Safety Advisor on 1 October. The Senior Advisor will be working on contractor management, an H&S database project, and supporting the Senior Health and Safety Advisor. He is based in Masterton.

Key projects the health and safety team are working on are: quad bikes, emergency management, rewriting policies and procedures, and supporting managers in the roll out of changes to the Health and Safety environment and system.

The main policy documents are the KESAW (Keeping Employees Safe At Work) document, the risk matrix, the incident management policy, hazard management and contractor management.

The Senior Managers were present at the audit to introduce the work of the organisation. They described the organisation as being responsible for producing the bulk water supply for the four cities, transport planning and the provision of public transport, developing strategic initiatives and facilitating economic development initiatives on behalf of the region, environmental management and administering the forestry and indigenous forests,, Civil Defence and emergency preparedness, and land management. The council also plays a big part in pest management and operates a contracting unit to undertake possum control. Staff within this unit work in the field and often camp or stay in remote areas. Staff in other departments collect and monitor water and air samples.

The tools they have in place to help them are: the intranet, policies and procedures, an accident and incident recording database, two dedicated Health and Safety Advisors, and convenors of health and safety in business units. The convenors are allocated time to perform their health and safety duties.

There are three unions on site, the EPMU (Water Supply), the Amalgamated Workers' Union and the PSA. The PSA has the largest number of members.

The main hazards include vehicles, the outdoor environment (farms and bush), remote locations, machinery, chainsaws, animal baits (1080), protesters, and emergencies, (eg the June storms and August earthquakes).

The employee participation structure has a Health and Safety Advisory Group which is made up of four business area leadership representatives, one elected health and safety representative, General Manager, People and Capability and the Senior Health and Safety Advisors. The business area leadership representatives come from environmental management, water supply, parks, catchment management and the Wairarapa area.

There is a health and safety convenor that manages and works with the elected health and safety representatives and they have an elected health and safety representative forum which has representatives from parks, water supply and flood protection from the Hutt Valley, two representatives from Wairarapa and two from the main office at Shed 39. Each work area has a health and safety meeting on a quarterly basis.

The person ultimately responsible for organisational health and safety is the General Manager, People and Capability. She is supported by two Senior Health and Safety Advisors. There is also a health and safety convenor that is based in the Wairarapa area.

Since the last audit, there have been extra reps elected in Masterton and for the Shed 39

building at CentrePort.

Present at the first part of the audit, held in the Upper Hutt Depot were the health and safety convenor from Masterton, the Senior Health and Safety Advisor, the recently seconded Senior Health and Safety Advisor who was the section leader for flood protection operations planning, and the health and safety consultant for the Water Supply Group.

Present at the second half of the audit were the Health and Safety Advisors, the health and safety consultant and the manager responsible for health and safety for the Water Supply Group.

A site visit to the Waterloo Water Treatment plant was made on 4 December. Present at this site were the two Health and Safety Advisors, the health and safety consultant, and a manager responsible for the treatment plant.


ACC reviewed two serious harm accidents and requested the site where the audit should take place and a copy of the memo be provided to the auditor. The memo was provided prior to the audit.

The 30 day rule was applied as the senior leadership team meeting where the policies and procedures were due to be signed off on 25 November was cancelled as the Kaumatua for the organisation had passed away. Representatives from the senior leadership team attended his funeral. The policies were signed off on 11 December and this evidence was presented in the close out meeting on 13 December 2013.

This is a renewal audit and recommendation of a pass at tertiary level is recommended.

Is this an initial audit? (Tick as appropriate)	<input checked="" type="checkbox"/> Is this a renewal audit? (tick as appropriate)
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ACC Approved Auditor Details:

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Date:	13 December 2013	
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Auditor signature:		Date: 20 December 2013

Summary of results	Level Demonstrated
<p>Safety Management Practices</p> <ol style="list-style-type: none"> 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 	<p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Tertiary</p> <p>Primary</p> <p>Primary</p>
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.	Yes
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).	Yes
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.	Yes
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).	Yes

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

Employer commitment to safety management practices
Standard achieved: Tertiary level.
<p>Comments:</p> <p>The GWRC has an overarching health and safety management programme which is managed by the Senior Health and Safety Advisor.</p> <p>There is a key document called "Keeping Employees Safe at Work", or the KESAW document and this outlines the strategy for health and safety on an annual basis.</p> <p>The health and safety policy is a one-page document and was signed and dated by the Chief Executive on 21 November 2011. This policy, the KESAW document and the accident and incident policy had been reviewed by the organisation, including the health and safety committees and advisory groups. It was due to be signed off by the Executive Leadership Team (ELT) on 25 November 2013. The agenda was shown as evidence. The process is all health and safety related policies are taken to the full ELT every two years for sign-off.</p> <p>However, the organisation's Kaumatua had passed away and the Executive Leadership Team meeting was postponed to 11 December 2013 so that members of the Executive could attend the funeral. Evidence was provided in the close out meeting that the policies were signed off.</p> <p>The policy document includes a statement of commitment to comply with relevant standards. These are the Health and Safety in Employment Act, its regulations, notifiable work, the</p>

Hazardous Substances and New Organisms Act (HSNO), the Code of Practice for Rivers and Stream Operations, safe operating procedures for chainsaws, controlled substances, Quad-Bike Guidelines, Guidelines for Computer Use, the Resource Management Act (RMA), and GrowSafe.

The policy document includes management commitment to health and safety and this is stated throughout the policies. This is demonstrated through monthly reports to ELT from the Senior Health and Safety Advisor. There is leadership commitment in the KESAW document including roles and responsibilities outlined for managers.

The General Manager, People and Capability, who is on the ELT, has the designated health and safety coordination role.

Management positions are reviewed against performance of designated health and safety responsibilities. A number of performance reviews for managers were provided as evidence. There were a number of criteria that had to be met on the reviews that were sighted. These were: making sure health and safety was an agenda item, investigating accidents and incidents, following the health and safety plan and objectives, and managers being held accountable for their obligations.

Another manager's role description had the following accountabilities: achieving the health and safety objectives and plan, reporting and identifying hazards, referring to KESAW, recording all accidents and incidents, and working with the health and safety reps.

In the policy document there is a statement which outlines individual responsibilities which are: all staff are expected to actively contribute by taking personal responsibility for their own actions, and participating in development and implementation and review of programmes in the workplace.

Evidence of employee participation and consultation was demonstrated by reviewing the minutes of meetings, discussing health and safety initiatives with staff in focus groups and at site visits, and reviewing the emergency response that occurred after the earthquakes in Wellington.

Health and safety documents have a statement to include accurate reporting and recording of incidents, injuries and accidents.

Continuous improvement is outlined in the policy and this was evidenced by the KESAW document, the information that goes to ELT from the Health and Safety Advisory Group and from the action plans which are developed on an organization wide basis and also for business groups.

Evidence that excellence in health and safety management and innovation is formally recognised includes letters of appreciation from the Chief Executive to staff who have undertaken health and safety roles and responsibilities. A staff member developed a footpeg arrangement on a motorbike as a health and safety improvement. Other work was undertaken around the MBIE forestry ACOP, working at heights, and the NZTA requirements.

Senior managers were briefed on the health and safety taskforce report on 20/11/2012, attended the Legalsafe Conference, and the Chief Executive attended the Health and Safety Leaders forum. The ELT also had an inhouse legal briefing for health and safety.

GWRC now has a dedicated ACC case manager. Evidence was shown of a return to work programme with a staff member who broke his ankle. He was rehabilitated through a return to work provider.

There is a statement of support for safe return to work of injured employees through recovery and rehabilitation.

There is an injury management policy that was reviewed on 17 August 2012. The injury management information is also on the intranet.

Critical issues:
1.2.1: Policy did not have up to date signatures. 1.2.2: Policy review process was not completed. Outcome: Policies signed off by Executive Leadership Team on 11 December 2013. All issues resolved.
Recommendations for improvement:
<ul style="list-style-type: none">• Ensure policies link to each other, and also link across the regions and organisation.

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).	Yes
	2. Minutes, schedules (or similar) to show there is annual review of the effectiveness of hazard management processes.	Yes
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.

Planning, review and evaluation
Standard achieved: Tertiary level.
Comments:
<p>The Senior Health and Safety Advisor reviews the KESAW document two yearly and the document includes recommendations, objectives, plans and a strategic overview which goes to the ELT for sign-off. The KESAW document outlines progress from the previous years and where the organisation hopes to go in the future. As stated earlier, it is part of the suite of documents that was due to be signed off on 25 November but was signed off on 11 December 2013. Review date is December 2015.</p> <p>There is also an overarching GWRC action plan as well as plans for each of the business areas. The annual plan was completed on 19 November 2013. This is also signed off by the Health and Safety Advisory Group.</p> <p>The process to review health and safety management is through using the self-assessment tool, looking at incidents and using the culture tool, and going through Job Safety Reviews (JSRs).</p> <p>There are now 11 overarching objectives and these include: identifying a suitable IT solution that supports GWRC health and safety information needs, maintaining secondary status with ACC WSMP, completing a gap assessment report, elected reps in place in all areas, review health and safety reporting to ELT, education programme to staff about new H&S framework (KESAW), accident investigation training, approved contractor database, health and safety induction, development of GWRC volunteer guidelines, and updating hazard registers.</p> <p>The hazard management framework is currently being reviewed. They are looking at integrating and formalizing safe operating procedures for particular activities. The first one completed was for use of quad bikes. This was rolled out across the organisation.</p> <p>GWRC acquired its health and safety knowledge through it's membership to NZISM, Safeguard and its update, Employers Chamber of Commerce Central (ECCC), ACC's Preventing and Managing Discomfort, Pain and Injury (DPI) newsletter, DOL, the Canadian Department of Labour, Chem Safety Board, Environmental Protection Authority (EPA), Animal Health Board, IPENZ, their law firm, and other relevant interest groups.</p> <p>The Senior Health and Safety Advisor manages the conformance and compliance requirement and this is outlined in the KESAW document and in action plans and it is brought up in the Health and Safety Advisory Group. This was demonstrated by the work around quad bikes and working at height. Both of these were in response to the guidance released by Worksafe NZ.</p> <p>The self-assessment is an adapted document from the WSMP audit tool and has scores from 1-5. Each work group undertakes its own self-assessment, sometimes with the help of the Senior Health and Safety Advisor. The Upper Hutt office conducted their self-assessment on 7/11/13 and one previously in 2012. The Water Supply Group completed theirs in August 2013 and 2012.</p> <p>An external consultant also completed a self-assessment on 31/8/12. An internal summary report of the collated results of the business area's self-assessments was completed by the Health and Safety Advisor on 20/2/12.</p>
Critical issues:
<p>2.2.1: Objectives in the KESAW document were not signed off by the ELT.</p> <p>Outcome: Objectives were signed off by Executive Leadership Team on 11 December 2013. All issues resolved.</p>
Recommendations for improvement:

- Consider an objective around streamlining safe operating procedures across the organisation.
- Ensure business areas understand what is expected of them in terms of the health and safety objectives.
- Consider concentrating on a smaller number of objectives to create some depth and traction around hazard controls and behavior change.

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).	Yes
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).	Yes

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

Hazard identification, assessment and management
Standard achieved: Tertiary level.
<p>Comments:</p> <p>The GWRC has a number of ways in which hazard identification and hazard management is undertaken. There is a hazard management policy that covers the process for reporting, assessing and controlling hazards.</p> <p>The KESAW document states that hazardous activities will be supported by safe operating procedures. There are safe operating procedures and JSR sheets completed for many tasks, and for projects. The SOPs are being updated.</p> <p>Hazard and incident report forms can be given to supervisors, or they can be logged into their online system.</p> <p>In Upper Hutt, there are regular checks of the office area and workshop and also a maintenance schedule for equipment. In the Water Supply Group office in Petone, there are regular office checks, maintenance schedules for the treatment plant, and vehicle checks.</p> <p>There is a hazard management guideline which covers the documented significance of hazards. It also looks at the hazard management control process – eliminate, isolate and minimise. There is also a risk matrix which assesses likelihood and probability.</p> <p>Before any job occurs, a JSR is developed that assesses hazards and risks, and covers controls. Examples of these were the realignment of the Korokoro Track. Staff also have regular toolbox meetings for the jobs. The delivery of metal also had a JSR developed on 4/10/13. Site Specific Safety Plans were developed for other jobs on 11/7/13 and 10/2/2014.</p> <p>Personal protective equipment (PPE) includes clothing, boots, sunhat, sunscreen, puttees, gloves, leggings and chaps, and hard hats.</p> <p>Safe operating procedures outline which PPE should be used, whether supervision is needed and whether further equipment is needed such as helmets and respirators.</p> <p>Records of training were kept on a register. Key management staff are all trained. There are staff who have been on health and safety representative courses, chainsaw courses, and a number of the staff are Agriculture Industry Training Organisation (AgITO) assessors. Many of the staff are working towards a National Certificate in Pest Management. Some staff are also internal assessor for motorcycles and All Terrain Vehicles (ATVs) as well, in terms of riding and driving.</p> <p>There is an internal and external specialist advice list. Externally this includes Employee</p>

Assistance Programme (EAP), a health company and an occupational physician. Internally there are GrowSafe trainers, people who can train for chainsaw use, tree-felling, four-wheel drives and quad-bikes, public events, poisons, trapping, baits and dealing with difficult people.

The hazard register outlines reviews and times for specific hazards.

There is a process to assess hazards for any new or modified equipment and services and to purchase equipment. Examples of new equipment were the bikes getting larger foot pegs because on the new models the users' boots were slipping.

Health monitoring is in place and there is a health monitoring policy which outlines the procedures. For suboptimal results the staff member is referred to a specialist. This could occur for eyesight, hearing test follow-ups. Pre-employment health screenings occur depending on the roles. Relevant medical questions are asked on the job application form.

Staff have health checks and this includes audiometry, vision, skin, muscular, skeletal, blood pressure, cholesterol, glucose, blood clotting if you are using anticoagulants. A sample of staff involved in aerial 1080 sites underwent health monitoring.

Roles have been assessed for special health screening and all staff have a baseline screening when they start with the organisation. The health monitoring company keeps the medical files and does a baseline on hearing, lung function and physicals and vision.

At the Upper Hutt Depot, restricted areas were clearly marked. There is a sign in procedure. Any visitor must be accompanied into the workshop. The areas where poisons are handled is very restricted. Restricted areas of work clearly marked. Areas with poisons were locked and no access was allowed except by certified people. Signage was in place and security sign-in was also in place and being used.

Evidence that emergency procedures were in place with visitors were in evidence and a very thorough induction was given by the receptionist on entry to the site.

At the Water Supply Group office, which is located on the 6th floor of an office building in Petone. There was a sign in procedure. The whole floor, apart from reception is office space so there are few restricted areas. Emergency equipment and signage was in place, as were trained personnel.

At the Waterloo Water Supply Treatment Plant, there is restricted entry to the building. Entry can only be gained with an authorized person. In the foyer there is a sign in book with a brief induction as to what hazards there are onsite, and the emergency procedures. All restricted areas are marked. All areas indicate the types of hazards that are present, eg noise or dust inhalation.

PPE was used by the auditor at Upper Hutt and the Waterloo Water Supply Treatment Plant. The health and safety consultant working with the Water Supply Group sent the Hazardous Substances Procedure and the Confined Space Procedure to verify controls. The Confined Space Procedure outlines three distinct categories of confined space and has detailed procedures for entry. During the safety observation, the manager explained how the system worked. A project around confined space was underway, including training and education, especially of the contractors.

Critical issues:

None

Recommendations for improvement:

- Consider focusing on 3 to 4 hazards over a certain time period and establishing a shared understanding between business units as to how the hazards will be controlled.
- Add in the overall results of health monitoring to the annual assessment to identify trends.

- Add forklift use to the Waterloo Water treatment plant hazard register.
- Consider adding more detail to the Upper Hutt Depot hazard register.

Hazard management observation summary table – Upper Hutt Depot

Significant hazard identified by the workplace	*Basic method of control selected by the workplace to	Detail of controls recorded by the workplace	*Auditor's observation of controls in practice
<u>Bikes and trailers</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Jockey wheels to move trailers ▪ Ply deck changed to metal to reduce slipping ▪ WOF every six months ▪ Motorcycle licences ▪ Training ▪ PPE 	✓ Mostly observed
<u>Aggressive clients/public</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ De-escalation training ▪ Policy ▪ Evacuation procedures ▪ Shelving secured ▪ Security alert procedures 	✓ Mostly observed
<u>Poisons Storage</u>	✓ Minimise	<ul style="list-style-type: none"> • Controlled substances licence for handlers • Locked area for storage • Hazardous goods signage • PPE 	✓ Mostly observed

		<ul style="list-style-type: none"> • Clean and dirty overalls • Laundry service. 	
<u>Washbay – contaminated vehicles</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Washdown procedures ▪ Bait trailer to tip ▪ Containers pumped out ▪ Designated cleaning gear ▪ PPE – gloves, gumboots, eye protection, and overalls. 	✓ Mostly observed
<u>Herbicides</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Spill kit ▪ Quick reference information ▪ MSDS ▪ Disposable PPE ▪ Inspections. ▪ Growsafe qualification 	✓ Mostly observed
<u>Vehicles</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ 1st aid kits ▪ Extinguisher ▪ 4WD training ▪ Supervision 	✓ Mostly observed
<u>Working Alone</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Site safety plans 	✓ Mostly observed

		<ul style="list-style-type: none">▪ RT, Locator technology▪ 1st aid bags on drivers seat▪ Sign in and out procedures▪ Policy	
<u>Forklift operations</u>	✓ Minimise	<ul style="list-style-type: none">▪ Loading/unloading only occur at rear of the depot or in front of bait preparation room.▪ Stay clear of any forklift activity▪ To be operated by trained staff only.▪ Regular service.- weekly checklist and service maintenance plan.▪ List of approved drivers	✓ Mostly 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

Hazard management observation summary table –Water Supply Group offices

Significant hazard identified by the workplace	*Basic method of control selected by the workplace to	Detail of controls recorded by the workplace	*Auditor's observation of controls in practice
<u>Computer workstation</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Workstation Assessment policy. ▪ Ergonomic equipment ▪ OOS/DPI assessments ▪ Breaks and self-management 	✓ Mostly observed
<u>Electrical appliances</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Tagged and tested 21/11/12 ▪ Visual inspection ▪ Safe storage ▪ Routine site inspections 	✓ Mostly observed
<u>External balcony use</u>	✓ Minimise	<ul style="list-style-type: none"> • No drinks bottles outside • No more than five people on the balcony • Signage in place. 	✓ Mostly observed
<u>Operational working alone policy</u>	✓ Minimise	<ul style="list-style-type: none"> ▪ Computer tracking system ▪ Follow working in isolation policy ▪ Planned maintenance 	✓ Mostly observed

<u>Vehicles and driving</u>	✓ Minimise	<ul style="list-style-type: none">▪ Planned maintenance with vehicles▪ Vehicle inspections▪ Driver training▪ Follow driving policy	✓ Mostly observed
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(*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"> – Emergency procedures – Incident and injury reporting – Hazard identification – Employer and employee responsibilities – The process for employee health and safety representation – Information about the health and safety forum/s – Designated roles for health and safety and rehabilitation – Work injury claims process – Rehabilitation responsibilities – Use and maintenance of relevant health and safety equipment, including personal protective equipment (eg, checklist, training information). 	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

Information, training and supervision

Standard achieved: Tertiary level.

Comments:

The GWRC has a thorough induction process which covers all the requirements from 4.1.1. Topics covered include the work environment, office procedures, firearms, spotlighting, surveying, tracking, trapping, the Radio Transmitter (RT) and the Personal Locator Beacons (PLBs), working alone and hand tools. There are sixty plus skill sets. The staff training and competency levels are logged in the SafeTsmart computer system.

The Health and Safety Advisor runs an induction every 1 to 2 months for new staff. Staff are also given a tour of operations and introduced to other parts of the business.

At the Upper Hutt Depot, a completed induction form was produced for a parks staff member on 5/7/12 and on 20/08/12. This happens on the first day and covers the structure of health and safety, the health and safety systems, the representatives, EAP and the Health and Safety Advisor. They are also "buddied up" with another staff member and followed up in a week's time.

At the Water Supply Group office, an induction record was sighted for an information coordinator on 8/11/13. All staff went through an induction when they moved to their new building.

Training records were sighted for both the Upper Hutt Depot and the Water Supply Group office. Assessing competencies is part of the training register. Some staff are working towards a national certificate through the NZQA framework. They have completed NZQA Unit Standard 497 and Unit Standard 17593: Demonstrate knowledge of health and safety requirements.

To assess people they are peer-reviewed for their capability. Often it is done as a group where they challenge each other or through task observation. Some training is certificated. As previously mentioned there are 81 procedures and a sign-off process that the person has read and understand the procedures.

There is a bring-up reminder for the controlled substances licences, first aid and firearms. There are also a number of renewable courses like GrowSafe.

There is a guideline document on outlining health and safety trainer selection criteria. Internally this is knowledge relative to the task – training at least of some level. They are able to undertake the task safely for six months and they also have the endorsement of their peers.

Selection criteria for external trainers include NZQA, training to a level beyond what they are delivering, knowledge of the task, and experience of working safely with this task for at least six months.

There is a document control system and there is a policy on how to understand policies and document control everything that is version controlled. All the documents are on the intranet and the Senior Health and Safety Advisor and other associated staff have access to adapt, edit and manage the documents. All staff have access to the intranet.

The Safety Data Sheets (SDS) are on the intranet. There are also posters around the workplaces, and noticeboards with health and safety information.

A new initiative that has just been completed is the quad bike train the trainer programme.

Critical issues:

None

Recommendations for improvement:

- Ensure staff are aware of training opportunities available to them.

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.

Incident and injury reporting, recording and investigation
Standard achieved: Tertiary level.
Comments: <p>The GWRC has an online accident and incident reporting process. They also have forms available in hard copy for staff. All information goes into the SafeTsmart database and the Senior Health and Safety Advisor is able to create reports and do data analysis on these documents.</p> <p>Incident report forms were shown to us and there was a process to notify Worksafe NZ which involved the Senior Health and Safety Advisor.</p> <p>The procedure for corrective action is in the online accident reporting system. There is also a minor incident process as well.</p> <p>The incident management policy was reviewed and signed off at the ELT meeting on 11/12/13.</p> <p>The procedure covers reporting, risk analysis, managing reportable serious harm accidents, and other events, responsibilities, and how to undertake an investigation. The initial investigation report was amended and prompts the investigator to assess contributing factors.</p> <p>There is a flowchart which shows how the incidents would go through to be managed and there is also a review team for the more serious incidents.</p> <p>There is a pool of investigators including health and safety representatives and the</p>

managers. The investigators complete the initial investigation and the Senior Health and Safety Advisor will follow up.

The Senior H&S Adviser compiles a monthly report to ELT including accident data which GM's circulate to their managers and H&S committees

GWRC have developed wallet cards for managers for what to do if there is a critical incident. Main incidents include threatening behaviour, strains and sprains trips and slips and twists.

At the Water Supply Group office the incidents that were recorded included a falling branch, spoil over a lid at the treatment plant, safety chains on the pump, poor access identified, and a slip getting into a truck.

There have been two serious harm accidents, both reported to MBIE (now Worksafe NZ). MBIE investigated the flash over that burnt a contractor electrician at the Te Marua Water Treatment Plant on 4 July 2012. MBIE issued an improvement notice requiring that they 'implement a formal system to assess, identify and control hazards associated with work on or around live electrical circuits'.

An investigation was conducted by GWRC and a number of recommendations were implemented. This included a revision to the contractor management process, electrical training and reviewed procedures, more signage and an electrical section added to the Permit to Work and isolation procedures.

The other accident involved a staff member fracturing an ankle after he fell while climbing over an 8 metre wire fence. MBIE/WorkSafe NZ did not wish to investigate.

Injury prevention initiatives include:

- defibrillators have now been put out at Kaitoke and Battle Hill.
- quad bike procedures and staff training
- JSRs in place for Upper Hutt Depot
- Bike trailers resurfaced to reduce slipping
- Blue hi viz implemented for the bush to reduce the possibility of being mistaken for a deer.

Critical issues:

None

Recommendations for improvement:

- Consider developing some training material and seminars around accident investigation.
- Consider a simplified version of the incident management policy to socialize with staff.

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.

Employee participation in health and safety management
Standard achieved: Tertiary level.
Comments:
<p>The structure of the GWRC health and safety representative system is led by the Health and Safety Advisory Group. This group is made up of the health and safety advisors, business representatives from the four areas, and the convener of the elected health and safety representatives. The Health and Safety Advisory Group meets quarterly at a minimum. Evidence was provided that meetings were occurring at least quarterly. At a Health and Safety Advisory Group they discussed training, the quad bike programme, the earthquakes, visitor control, the KESAW document, the health and safety policy and contractor management.</p> <p>There are 11 elected health and safety representatives and they are involved with the health and safety committees at their site. The elected reps also meet together at least twice a year.</p> <p>There is a monthly report which the Senior Health and Safety Advisor sends through to ELT and then quarterly reports are sent to the Chief Executive as part of his quarterly review of the People and Capability Group.</p> <p>Evidence was also provided that toolbox meetings occurred. Health and safety was also an agenda item on business unit meetings. Most business groups have a local health and safety meetings at least every two to three months.</p> <p>Some additional reps were required as some had resigned or moved on. A notice was sent out for expressions of interest. The KESAW document covers how elections can occur. Usually it happens when reps need replacing. The KESAW document also covers the roles and responsibilities of reps and health and safety conveners for each business unit.</p> <p>There tends to be an endorsement process if the members of the committee and representatives are not elected.</p> <p>At the Water Supply Group, there is a health and safety administrator and two staff health and safety representatives.</p> <p>A number of staff members have attended Stage 2 and Stage 3 health and safety representative training in 2012 and 2013.</p>
Critical issues:
None
Recommendations for improvement:
<ul style="list-style-type: none"> • Develop networking opportunities for health and safety representatives within GWRC. • Consider developing an in-house training programme for health and safety representatives on what their responsibilities are, and how they can be effective reps at GWRC.

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

Emergency planning and readiness
Standard achieved: Tertiary level.
Comments: <p>Emergencies at work include fire, earthquake, bombs, suspicious packages, threatening behaviour, and chemical spillage. There is also an evacuation scheme. For the Water Supply Group, other emergencies were giardia, water contamination, emergencies at Stuart McCaskell lakes (where the water comes from) and structural work.</p> <p>GWRC has legislated responsibilities for emergencies and disasters and plans have always been in place for this. Since the August earthquakes Upper Hutt Depot and the Water Supply Group have developed more comprehensive emergency preparedness plans.</p> <p>The Waterloo Water Supply Operations Centre's building was assessed as part of the organisation's building assessment programme post the Christchurch earthquakes. As the building did not reach the prerequisite earthquake rating, the Water Supply Group moved to another building in Petone. They participated in the Civil Defence day which is described further on in this critical element.</p> <p>The Water Supply Group has a computerized working alone system and an emergency response process if people do not report in. Locator beacons are available for staff doing remote work for either business unit.</p> <p>At both the Upper Hutt Depot and Water Supply Group offices and treatment plant there are sign-in and sign-out procedures and there is a process if people do not call in at the designated times or do not arrive back when expected. There is a way of tracking where people are and in what area.</p> <p>There is a full evacuation scheme for both sites. Building evacuation information has the wardens' names and the wardens are known to people. Names are on the noticeboards and displayed prominently.</p> <p>There are policies and procedures around emergencies on the intranet. Training that has occurred is a survival first aid course. It was piloted with 10 to 12 people on 17/10/13. Wardens had refresher training on 12/11/13.</p> <p>There was also one day civil defence activity for the Wellington region where they trained staff on using the descender abseiling equipment, and the evacuation chair. They also put more procedures in place around the 1080 drop as protesters had threatened to stop the drop.</p> <p>In the Upper Hutt Depot evacuations occurred in 13/11/13, 10/5/13, 24/6/12, and 12/2/12.</p> <p>At the Waterloo Water Supply Operations Centre, evacuations were held on 21/10/13, 19/8/13, 17/01/13, and 26/6/12. Evidence was provided that emergency preparedness had been discussed at staff meetings, and procedures had been updated.</p>
Critical issues:
None
Recommendations for improvement:
<ul style="list-style-type: none">• There are no recommendations for improvement.

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"> – Staff training and competencies – Current certification and permits – Declaration of the above signed by contractor. 	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).	Yes
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
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Standard achieved: Tertiary level.

Comments:

At the Upper Hutt Depot, approximately 100 contractors are used for a range of activities, including:

- Abseiling
- Tree felling
- Spraying
- Weed control
- Cutting growth
- Biosecurity
- and other work in the parks.

The current policy is dated 2008 but it is under review after a serious harm accident in the Te Marua Water Treatment Plant. A recommendation from the investigation was to review the contractor management processes.

The current selection process is the company submitting a safety plan, using JSRs, being well established, and being able to manage high risk work. The contractor is then put on the approved list of contractors. At Upper Hutt Depot the contractors are listed on a spreadsheet with their qualifications, their health and safety plan, their insurance, and whether they have current first aid certificates.

The induction process for a new contractor is being taken through the health and safety policy, they are given a job with few risks and monitored for their performance. Once they have completed the work to the supervisor's satisfaction, they are given more work. Staff regularly meet with the contractors.

Evidence was shown that contractors had been inducted. GWRC is working towards an overarching contract suppliers list. Currently each individual supplier is held with each Department.

The person who inducts contractors is usually the supervisors or the engineers or the site supervisor. Once the contractors have been assessed they are granted a two-year approval.

In the contractor management policy there is contractor's guidance information, an on-site project or external status confirmation, an audit form and an approved contractor form. An annual start-up meeting with each contractor covers generic hazards.

There is also an evaluation that looks at hazard identification, site management, incident management and audit and support. There is also an induction handbook which is given to contractors.

Usually the staff member leading the project will scope it and assess the site hazards and safety requirements. A document is put together and contractors and staff are inducted. They will generally audit the job while it's being completed. An example was the need for a helicopter to work on a job. The helicopter company was chosen after assessing the winch up process, their training and whether their equipment was certified.

Documentation includes an approval form, a preferred supplier form, a site specific plan, a risk and emergency response plan, GPS coordinates, a health and safety plan and who will be on site, an area map, a process for safe work observation and an audit schedule.

There is an evaluation process that looks at successes, incidents, health and safety audits and site inspections. They are also rated on price, quality, and health and safety system compliance.

The SafeTsmart system is used as a log to follow up on contractor evaluations.

Evidence was provided of a major project that required six major contractors. The health and safety compliance requirements were tracked on a spreadsheet. These included their policies and procedures, accident rates, and qualifications.

At the Water Supply Group office, evidence of the contractor induction was supplied by the way of the interior decorator who did the fit out of the floor of the IBM building where the

business unit moved to.

At the Water Supply Group office, the manager in charge of operations carries out the inductions. There is a strong delineation between onsite and off-site contractor work. All contractors must provide a health and safety declaration. On procurement they must supply their health and safety documentation and it is assessed to see whether it aligns with GWRC's. If it doesn't staff work with the company to ensure their procedures and processes are robust.

There are three types of preferred contractors that cover mechanical, electrical and civil work. All contractors are involved in training. Currently work is underway around confined space and contractors are also receiving the training.

There is an evaluation process for contractors, and an audit schedule. A number of key performance indicators are measured and the contractor is scored against these. An assessment of health and safety performance is also undertaken.

After the end of the contract there is a health and safety and environmental impact assessment, an analysis of any incidents, a contractor assessment and a checklist that needs to be completed before the invoice is paid.

The newly appointed Senior Health and Safety Advisor has contractor management as part of this portfolio of work.

Critical issues:

None

Recommendations for improvement:

- Follow up with creating a preferred supplier list which can be accessed through their intranet by all business units.

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).	Yes

Workplace observation
Standard achieved: Primary level.
Comments:
<p>Three sites were visited during this audit. The Upper Hutt Depot, the Water Supply Group office and the Waterloo Water Supply Treatment Plant.</p> <p>The Upper Hutt Depot</p> <p>This site is situated in Upper Hutt and is made up of a two storey office block with a large workshop and vehicle storage area behind it. To the side of the workshop is the bait storage and handling area. This has controlled access. There is also a wash bay for contaminated vehicles which had PPE readily available.</p> <p>The workshop was tidy and all machines had been recently tagged and tested. We were shown the newly surfaced trailers for the bikes, and other modifications that had been made to the foot pegs and exhaust systems of the bikes.</p> <p>A reception area is the main point of entry for visitors and the receptionist asks all visitors to sign in. A staff member gave a brief orientation to the site mentioning key hazards such as vehicles, and poisons. He also briefed me on the emergency procedures.</p> <p>There was appropriate signage on display and restricted entry to only certified staff members and contractors.</p> <p>There was current health and safety information on display on noticeboards throughout the building and in the workshop and adjoining areas. Signs were printed out and put on the wall or near equipment and machinery. All staff have access to health and safety information on the intranet. Accident forms are available in hard copy on noticeboards or through the intranet.</p> <p>Emergency evacuation procedures were on display throughout the organisation. Wardens jackets were available and wardens have been trained. Emergency equipment was accessible and recently checked. Emergency exits are clearly marked.</p> <p>PPE was required by visitors to go into the workshop area.</p> <p>The Water Supply Group office</p> <p>This site was the sixth floor of the IBM office building in Petone. The floor had been recently fitted out for the business unit. Staff all had ergonomic equipment and appeared well set up. The floor was tidy and free from trip hazards.</p> <p>A reception area is the main point of entry for visitors and the receptionist asks all visitors to sign in. There was some information in the sign in book about health and safety and the emergency procedures.</p> <p>There was current health and safety information on display on noticeboards throughout the floor. All staff have access to health and safety information on the intranet. Accident forms are available in hard copy on noticeboards or through the intranet.</p> <p>Emergency evacuation procedures were on display throughout the organisation. Wardens jackets were available and wardens have been trained. Emergency equipment was accessible and recently checked. Emergency exits are clearly marked. No PPE was required on this site.</p>

Waterloo Water Supply Treatment Plant

This site is situated in Waterloo and is a multi-storey building with water tanks at one end of the building. There is restricted entry and the building usually has someone stationed there during business hours.

The sign in process explains the health and safety issues onsite, confined space, fluoride and chloride and acids. It requires permits for work for certain types of work, e.g. confined space or electrical work.

There are numerous restricted entry areas. These included areas where chemicals were stored in hoppers, bags of fluoride that needed to be added to the water, water treatment areas, and the roof space. The confined space requirements were explained. The electrical permit for work requirements have been reviewed since a recent accident at the Te Marua treatment plant.

Health and safety equipment such as eye wash stations and shower stations were observed. These were on a maintenance schedule to be checked. A forklift is used to move chemicals around. This was certified and recently maintained. All strops and chains were tested, as was the gantry crane on the top level of the building. A safety gate that opens inwards and is hinged from the floor was demonstrated as a method to prevent falls from height.

The floor space was tidy and all pieces of machinery had been recently tagged and tested. A lockout tagging system was observed on a piece of machinery that was being maintained.

There was appropriate signage on display and restricted entry to only certified staff members and contractors. Signage was prominent at the entry door to the roof.

There was current health and safety information on display on noticeboards throughout the building and in the workshop and adjoining areas. Signs were printed out and put on the wall or near equipment and machinery. All staff have access to health and safety information on the intranet. Accident forms are available in hard copy on noticeboards or through the intranet.

Emergency evacuation procedures were on display throughout the organisation. Wardens jackets were available and wardens have been trained. Emergency equipment was accessible and recently checked. Emergency exits are clearly marked.

PPE was required by visitors.

Critical issues:

None

Recommendations for improvement:

- Consider completing an assessment of all machine guarding.

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.

Focus group interview summary
Standard achieved: Primary level.
Number of focus group interviews undertaken: Three focus groups were undertaken. Two employee focus groups were held – one at the Upper Hutt Depot and one at the Water Supply Group office, and one managers' focus group in the Upper Hutt Depot.
Positions and interests represented in the <u>employee</u> focus group(s):
There were seven people present in the employee focus group at the Upper Hutt Depot. This included a health and safety rep, a ranger, an engineer, a biosecurity staff member, a maintenance operator, a member of the trucks team, and an assets coordinator. There were three staff present in the employee focus group at the Water Supply Group office. These were the management systems coordinator, the control systems technician, and the team administrator.
Positions and interests represented in the <u>management</u> focus group:
There were eight people present at the management focus group. Seven of these were staff members: the Manager Biosecurity, Principal Ranger, Assets and Maintenance, General Manager, Catchment Manager, Manager Parks, Supervising Depot Team Administrator, and the Senior Biosecurity Officer. The external health and safety consultant was also present.

Summary comments from focus group interviews:

Upper Hutt Depot

In the Employee Focus Group the attendees considered the following were hazards: site specific work plans, the terrain, the public, trail bikes, windfall and clearing up after storms.

Hazards were controlled by the hazard register with control measures, action plans, contractors telling them about hazards, tailgate meetings, and communicating with each other. They had weekly meetings with a health and safety section, JSRs and toolbox meetings with a prompt sheet, as well as managers being approachable.

Anything they asked for was sorted by managers. They got different tools to drill into rocks and also received electric winching gear. They also now work a lot more in pairs with tools or chainsaws.

The group understood what was meant by a significant hazard and discussed the hierarchy of controls. They went through their hazard register annually at a meeting.

If someone was injured at work they would complete an incident form, ACC forms and seek treatment. They would discuss in a meeting how it happened and how it got resolved. There would be an investigation and the health and safety rep would be involved.

An incident occurred where a bike was being put on a trailer and the back wheel slipped off. They changed the surface of the trailer decks from wood to metal to improve traction.

The trucks now have fluro strips on each side as a truck got caught on a column.

A staff member in the focus group discussed his rehabilitation after he broke his leg and was off work. He said he had great support from his employer. He did office work and gradually built back up until he was back to his full range of duties.

Employee representation included meetings every two months, meetings with the representatives and also the Health and Safety Advisory Group meeting on a quarterly basis. They discussed incidents, and policies and how to do things more effectively.

The role of the health and safety representative was to take their concerns forward, and audit gear.

Emergences that could be faced at work include earthquake, fire, flood, 1080 protesters, storms and natural disasters, downed power lines, working alone and going missing, and natural disasters.

They had emergency response plants and emergency supplies and water. The regional council had to be there in emergencies. The staff went down and helped in the Christchurch earthquake recovery.

When someone started work they went through the health and safety guidelines with a checklist. They went through training like four wheel driver training, first aid, site safety, confined space, workstation assessments and Grow safe. New staff are also buddied up.

Employee responsibilities include: communicating with other staff, speaking up about hazards, list to the health and safety reps, and make people aware of hazards. The responsibilities were also written into their role descriptions.

Employer responsibilities were ensuring staff were trained, supplying PPE, supplying the right equipment for the job, any hazards reported were acted on, managing the workload and providing a safe work environment.

Waterloo Water Supply Operations Centre

The focus group thought their main hazards were: machinery, electrical appliances, leads, contractors, PPE, noise, soldering, Hi viz vests, traffic, boom lifts, and four wheel drives. They were provided PPE, and got driver training. They had 50 staff and the team administrator coordinated the training. The staff did lots of training.

Health and safety inspections of the workplace occurred four times a year. Most people were trained to do this and the role would be rotated. They can escalate concerns if nothing happens about getting something fixed.

The team leader generally logs incidents and hazards in the SafeTsmart system. At Operations team meetings they discuss hazards and solutions.

If there is an injury, the procedure is the first aiders would treat the person, complete an accident form, and notify MBIE if required.

They have a lone worker policy where staff have to sign into. They have an EPERB locator and a satellite phone which is needed when they go into tunnels. There was also an improvement opportunity form.

They discussed the gate a staff member designed to prevent falls from height when loading the fluoride pallets into the top floor of the treatment plant.

A staff member discussed returning to work after an injury where she was on crutches. She spent 3 weeks working half time in the mornings. She felt supported coming back to work, and was able to work from home, and slowly increase her hours at work.

The health and safety reps are voted in and meet every two months to discuss items for each group. They considered the contact and sharing of tools benefited all departments. If they want to escalate anything they can use that forum. They also met the ACC case manager.

The role of the health and safety rep was someone to go to if they felt unsure about anything. The rep keeps them informed and keeps them up to date with legislation. They were also there to think about what could be hazards.

They discussed the earthquake and how it had affected them.

When someone started work they were taken through the corporate induction, given a tour of the sites and the treatment plant, and are briefed on the health and safety policies.

Employee responsibilities were keeping everyone safe and keeping their eyes open for hazards.

The employer's responsibility was keeping people safe at work and providing a safe working environment.

Management Focus Group

In the Management Focus Group they considered they had a more systematic approach to health and safety now. They had identified hazards and had controls in place and they were creating site safety plans and job safety reviews (JSRs).

An example was the spray trailer until. They decided there must be a better way of doing things and developed a tow bar mounted unit that the contractors can stand on. There is a culture change as staff are encouraged to report. It is becoming business as usual as they are promoting a no blame culture.

They also have a self-assessment tool that has helped to streamline the system.

They had identified driving as a risk and put in place training programmes for four wheel drives, and quad bikes. They also developed vehicle checksheets.

At induction people's skill sets are identified and the need for training flagged.

They understood the term "significant hazard" and knew it meant serious harm and they discussed the hierarchy of controls. They considered they had a more robust risk assessment process.

Hazards are identified at the start of a project, e.g. the need for a helicopter to drop metal on tracks. There is a site specific plan and on Monday morning meetings hazards can be identified. The staff have fortnightly meetings. There are trained investigators, and these are sometimes outside of the team.

They discussed the incident when a bike slipped off the trailer during loading. Forms were filled in and an SOP for loading trailers was developed, as well as the trailers being resurfaced.

They are in the process of developing high risk SOPs that can be rolled out across the organisation.

For rehabilitation they discussed a focus group member's knee surgery and his return to work. He had an ACC case manager, took work home, and eased himself back into fulltime work.

The Parks health and safety committee meets every three months. It is made up of 2 mobile park rangers and the manager rep. Departmental meetings occur every two months and the sector meetings occur every two months also.

The role of the health and safety representative is to speak from the staff members' perspective.

The focus group discussed the earthquakes, having to move buildings and keeping up the emergency response. All facilities and public bridges and toilets were checked within 48 hours. Their emergency response procedures are substantial, they have a risk triage process so staff are kept safe.

They felt there has been massive change in the way they do things over the last year. This is reflected in the amount of training taking place. Core training now includes health and safety, working with the public and resilience.

Managers' responsibilities are making sure the systems are in place to create a safe working environment. This includes putting in place systems and processes to follow. Staff need to be given time to do this. The Exec team needs to ensure everyone has the resources to keep people safe, trained and making sure there is time for health and safety.

Critical issues:

None

Recommendations for improvement:

- Consolidate the changes already made in the health and safety system before commencing new projects, policies and procedures.