



Health and Safety Manual

Version 2 2018
Health and Safety Services
Office of the Vice-Chancellor

Changes include:

- New hazardous substances requirements
- Updated internet links
- ACCPP to Accredited Employer Program (ACC AEP)

Introduction

The purpose of this manual is to provide information to support and document processes which support the identification of hazards at the University of Waikato and reduce the risks imposed by these hazards to an acceptable level. There is a separate manual on staff intranet for injury and claim management processes.

This manual has been developed with reference to the following legislation and references:

- Health and Safety at Work Act 2015 (HSWA)
- Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- Health and Safety at Work (Worker Engagement, Participation, and Representation) Regulations 2016
- AS/NZS 4801:2001 Occupational Health and Safety Management System – Specification with guidance for use
- Risk Management Framework, University of Waikato 2016
- Hazardous Substances and New Organisms Act 1996 (HSNO)
- Health and Safety at Work (Hazardous Substances) Regulations 2017
- Worksafe NZ Approved Codes of Practice
- ACC Partnership Program audit standard
- Injury Prevention, Rehabilitation and Compensation Act 2001
- Biosecurity Act 1993
- Radiation Protection act 1965
- Maritime Transport Act 1994
- Fire Service Act 1975
- Animal Welfare Act 1999

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Health and safety framework

The underlying principles for the University of Waikato Health and Safety (H&S) management system are to:

- provide and maintain a safe and healthy workplace where all workers and students are encouraged to participate in health and safety management;
- regularly monitor, review and evaluate the health and safety management structure, policies, practices and procedures to achieve tertiary level accreditation in the AEP;
- systematically review hazard identification and risk assessments to ensure they effectively eliminate or minimise risks in the workplace;
- provide appropriate training and safety equipment as required;
- ensure compliance with relevant legislation and AS/NZS 4801.

The H&S management system structure is based on the quality management plan-do-check-review cycle:

PLAN	Successful implementation of the H&S framework requires an effective planning process with well-defined, measureable objectives. The Health and Safety Policy sets out a strategy appropriate to the nature and scale of the University risks along with clear accountabilities for achieving agreed objectives and targets.
DO	The University defines, documents and communicates the procedures and processes for maintaining and providing a safe place of work.
CHECK	Active and reactive measurement and monitoring will be carried out. Senior managers and officers will be provided with regular reports on performance, trends, system failures and recommendations for continuous improvement.
REVIEW	The university will undertake a formal regular review of the H&S management system to confirm its effectiveness.



1. Plan

H&S strategy

H&S fits into the broader University Strategy as one of its sustainable practices. The first step in creating a sustainable culture of safety is defining what “safe” actually means. To do this, risks must be critically evaluated to identify the challenges and opportunities. This action should be undertaken by the H&S Advisory Committee to help clarify the safety goals and guide the review mechanisms.

In seeking a sustainable safety culture, our safety LAWs are to Lead by example, ensure clear Accountabilities and to improve Wellness. Each of these LAWs is under pinned by a legislated requirement for proactive consultation and communication. We can all take the lead to protect ourselves and others from harm however clear accountabilities will provide a structure for measuring an individual’s level of involvement. Wellness may seem an odd inclusion amongst these legal requirements however we all enter into an unwritten contract on accepting a position at UoW to present to work each day fully fit to fulfil our employment obligations. Public health, and our own data shows that substantial changes are needed to improve the levels of physical and mental health.

To clearly demonstrate active, consultative commitment to improved safety, the Health and Safety Policy sets out the strategy appropriate to the nature and scale of the University risks along with clear accountabilities for achieving agreed objectives and targets. This policy is reviewed every two years.

Vision	Towards a sustainable safety culture
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Strategies	Lead by example	clear Accountabilities	improve Wellness
Strategic Imperatives	Health and Safety at Work Act 2015	In UoW 2014 staff survey, while priority for safety met industry norm, understanding of safety responsibilities and safety behaviours were 5% to 12% below industry norms. Clarity of role and responsibility to dispel confusion, non-compliance and establish accountabilities	68% of staff attending health checks have moderate to very high health risks
Broad objectives	Develop and maintain a health and safety system that supports the university to comply with relevant statutory and regulatory requirements	Provide strategic leadership and effective implementation of health and safety initiatives.	To prevent injury and promote wellness
Outcomes	Revised policies and procedures H&S hazard register Increased reputation Achieve tertiary level membership of the ACC Partnership Program	Ability to manage resources effectively Provide the University’s governing body and officers with the confidence that the University complies with statutory and regulatory requirements	Positive culture where workers feel motivated, valued and respected. decreased absenteeism

Proactive consultation and communication

Mission	whoever creates the risk manages the risk
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Setting objectives

A key step to establishing a sustainable safety culture is to set performance standards based on defined work with measurable outputs and to assess individual management performance against designated H&S responsibilities. Objectives need to be specific, measurable, agreed with those who deliver them, realistic and set against a suitable timeframe (SMART). While Health and Safety Services recommends key performance indicators, it is the University Council that approves these measures and the annual targets.

Other complementary monitoring includes the annual employee satisfaction survey, individual performance development reviews, environmental monitoring, and periodic inspections of premises, plant and equipment. Additional reactive monitoring may be triggered by incident reporting.

H&S measure	2016 Performance	2017 target	
ACC claims	53	-20%	Apply risk-based hazard control and improved wellness for injury minimisation
Serious claim	1	0	Encourage pre-injury event reporting and offer modified duties for early return to work
Manager training	40%	100%	Biennial H&S module completion so managers better understand their responsibilities as documented in policy and position descriptions
ACC audit	100%	100%	Annual self-assessment at faculty/division level required for ACC Partnership Program
H&S Advisory Committee	Not applicable	4	H&S Advisory Committee to meet quarterly, with quorum

Emergency planning and readiness

The UoW has identified a range of emergencies that may arise. Maintenance of these procedures and training for the Hillcrest campus is under the control of FMD Security. Refer to http://www.waikato.ac.nz/fmd/pdf/Emergency_Procedures.pdf for emergency procedures including fire, earthquake, medical emergency, acts of violence, bomb threat, severe weather, utilities failure and suspicious persons. In the event of an incident occurring, persons who are not physically affected may still suffer psychological effects that need to be resolved through internal or external debriefing and counselling. Refer to [healthandsafety/health-and-wellbeing](#) for more details of our employee assistance program.

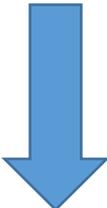
2. DO

Accountability and responsibility

PCBU

The 'person conducting a business or undertaking' (PCBU) is the primary duty holder under the HSWA to ensure, so far as is reasonably practicable, the health and safety of workers and that other persons are not put at risk by its work activities. As the PCBU is the legal entity carrying on the business or activity, in our environment, this means our PCBU is the University as established under University of Waikato Act 1963.

The UOW is committed to providing a safe and healthy environment through proactive control of hazards. While everyone is expected to share in this commitment, there are specific responsibilities and accountabilities allocated to groups of individuals. A duty imposed on a person by the HSWA is non-delegable and cannot be transferred to another person. In addition, a person may have one or more concurrent, overlapping duties as shown in the following chart:

Assurance 	Executive Leadership Team This group has the responsibility for shaping the strategic direction of H&S and providing appropriate resources.	Strategic direction and strategic management 	<i>Health and Safety Services provides advisory support to every tier of management</i>
	University Council This group must apply the principles of due diligence to ensure the effectiveness of H&S systems.	Governance	
Management	Senior Managers This group has the responsibility for developing the strategic plan of a particular faculty/School/Department. This group may include Deans, Directors, Heads of School, Directors of Research, and Faculty Managers	Operational support	
	Line Managers This group includes both academic and professional support staff who have responsibility for the day-to-day implementation of activities and the management of staff in line with the strategic direction of the particular Faculty/School or Department.		
	Workers, students, and visitors Everyone is expected to share in the commitment to his or her own safety and the safety of others.		

Officers

An officer is a person significantly influences the management of a PCBU. Officers do not need to be an employee of a PCBU to hold due diligence liability. Members of University Council and the Executive Leadership Team are officers as they are responsible for the strategic direction of the University. Other senior leaders may also be identified as officers, based on development of NZ case law. To fulfil their due diligence responsibility, the University Council will make independent judgements on the effectiveness of the arrangements in place to manage H&S. Each officer must apply the principles of due diligence and take reasonable steps to:

- acquire, and keep up to date, knowledge of work health and safety matters;
- gain an understanding of the nature of the operations of the business or undertaking of the University of Waikato and generally of the hazards and risks associated with those operations;
- ensure that the University of Waikato has available for use, and uses, appropriate resources and processes to eliminate or minimise risks to health and safety from work carried out as part of the conduct of the business or undertaking;

- ensure that the University of Waikato has, and implements, processes for complying with any duty or obligation of the University of Waikato under HSWA;
- ensure that the University of Waikato has appropriate processes for receiving and considering information regarding incidents, hazards, and risks and for responding in a timely way to that information;
- verify the provision and use of the resources and processes referred to above.

While the UoW is the entity defined as the person undertaking or controlling a business (PCBU), it is the Vice Chancellor who has the strategic oversight of health and safety. Through the Executive Leadership Team, the Vice Chancellor must effectively manage risks to ensure that staff, students, visitors, and contractors are safe. Although accountability sits with this team, the operational aspects of H&S management are usually delegated through position descriptions, policy and other documents to other managers, so there must be a process to gain assurances that these responsibilities are being fulfilled.

Managers

Managers must ensure the allocation of available resources to achieve the strategic direction within a particular faculty, school or department within agreed performance parameters. Defects and deficiencies beyond delegated authority must be communicated to the appropriate person for action. It is expected that there will be a consultative approach to health and safety issues with affected persons actively engaged in risk minimisation activities. Documented risk assessments should be carried out before changes are made to processes, equipment or materials that could adversely affect health and safety.

Ongoing training, supervision and instruction are essential to ensure that affected persons understand the hazards controls and are able to raise issues in a timely manner. Opportunities should be sought to celebrate achievements in the workplace and to recognise excellence.

Workers

Under the HSWA, the term 'worker' includes employees, contractors, employees of contractors, sub-contractors, labour hire employees, outworkers, casual employees, work experience students, and volunteer workers. Regular visitors and embedded contractors should also be treated as employees with appropriate induction and supervision. Essentially anyone who carries out work in any capacity for the University is a deemed worker.

All workers are obliged to take reasonable care of their own health and safety and to not adversely affect the health and safety of others. Workers are also required to cooperate and comply with any reasonable instruction given by their managers.

Contractors and sub-contractors

The contractor management process is largely shaped by the financial procurement process and standard terms and conditions within contracts. However, the university is accountable for the health and safety of contractors and sub-contractors so each contract manager must seek assurances from the contractor regarding safe work procedures, materials and equipment prior to work commencing. There is also a need to review contractor safety performance as part to the post-contract evaluation process. See Procurement Policy, Independent Contractor Policy and procurement templates for more guidance on management of contractors.

Other people (students, visitors, members of the public)

Other people who attend our workplace are required to ensure that they take reasonable care for their own health and safety and to not adversely affect the health and safety of other persons. They must also comply with any reasonable instruction given by a University staff member.

Health and Safety Services

The Health and Safety Services team is located within the Office of the Vice Chancellor. Their primary role is to provide advice and technical assistance to maintain management systems to the

standards required by legislation. This includes analysing data and providing regular reports to management for informed decision-making, liaising with government authorities, facilitating training, auditing and inspection, and interpreting legislation and industry best practice into the tertiary education environment. Health and Safety Services also manages workplace injury claims.

Hazard identification, risk assessment and control

A hazard is anything that has a potential to cause physical or mental harm. All UoW hazards can be grouped under six broad headings: physical hazards, environmental hazards, social hazards, biological hazards, ergonomic hazards and chemical hazards (see appendix for more details). All hazards must be systematically identified and the level of risk assessed using the agreed risk matrix to determine the type and timing of hazard control required.

		Consequence				
		Minor	Moderate	Serious	Major	Catastrophic
Likelihood	Certain	H	H	VH	E	E
	Almost Certain	M	H	VH	VH	E
	Likely	L	M	H	VH	VH
	Unlikely	L	M	M	H	VH
	Highly Unlikely	L	L	L	M	H

The purpose of prioritising the risk is to determine the level of action needed for the identified and assessed risks. Even when hazard controls are assessed as adequate they need to be periodically reviewed to ensure that they remain valid. These processes must be adequately documented to provide evidence of the date of assessment, the assessment team members, the risk level and the actions undertaken to control the hazard.

The UoW Audit and Risk Committee establishes the levels of acceptable risk and these are published in the UoW Risk Framework. If a hazard is assessed as a high or extreme risk, then the existing controls must be altered to reduce the risk level to medium or lower. If this is not possible then the hazard should be escalated to senior management for review.

Hazards can be systematically identified using one or more of the methodologies listed below. The method, or combination of methods used will depend on the work environment and tasks undertaken.

- physical inspection (inspection checklist)
- analysis of accident reports (incident form)
- workplace observation
- analysis of hazard reports
- task analysis (JSA form)
- operational experience
- review of position descriptions
- employee consultation

As hazards should be considered at the planning or design phase, the procurement process for goods and services is an important control point to minimise hazards entering our workplace as we can place strong reliance and expectations on our upstream PCBUs (designers, manufacturers, importers, suppliers and installers of plant, substances or structures) during the procurement process to provide adequate information about intended purpose, results of tests and conditions for use for informed decision making.

The approach to controlling hazards employs a hierarchy of options. The ideal state is to remove or eliminate the hazard permanently from the workplace. If there is residual risk, then lesser hazard control options need to be sequentially assessed using the hierarchy of controls: from engineering controls to administrative controls, to the final barrier between workers and the hazard, the provision

of personal protective equipment. It may be necessary to use a combination of hazard control measures to achieve the desired level of risk.

Where personal protective equipment (PPE) is selected as a hazard control methodology, additional monitoring may be required to protect individuals from the hazard. This may include environmental monitoring and training in the correct use and maintenance of PPE. The line manager must record PPE issue, maintenance and replacement.

Hazards need to be reviewed when there has been a change in work processes; before introduction of new equipment or following a serious incident resulting in damage to persons, facilities or the environment. Industry standards and approved codes of practice provide useful guidance to determine methodologies for hazard control. The University measures hazard control effectiveness using the following criteria:

Good	A high degree of reliance can be place on the system of internal control. Compensating controls are in place such that even if part of the system breaks down
Satisfactory	The controls can be relied upon; however, some improvements to controls can be made
Marginal	The system can generally be relied upon in most circumstances but there are some circumstances where one or more of the four control criteria may not be met
Weak	The system of internal control cannot be relied upon to meet the four control criteria. If there has not already been a significant breakdown, it is only a matter of time before this occurs

Information, training and competency

An effective H&S management system begins at the recruitment or procurement stage to ensure that workers have the necessary physical and mental abilities to do their jobs, or can acquire these through training and experience. H&S training needs analysis is included in Appendix 3. It is the responsibility of the relevant people managers to ensure that new employees receive local workplace induction prior to commencing work; sufficient to understand the hazards they may be exposed to and how these are controlled. Other critical information includes emergency response procedures and incident reporting. A H&S Induction checklist located at [healthandsafety/resources](#) has been developed for this purpose. Managers must ensure employees are competent to undertake tasks allocated to them and/or provide the direct supervision necessary to ensure the no one will not be harmed or cause harm while performing the activity.

Job training needs analysis falls into two main types: management and non-management. Individual needs are generally identified through performance appraisal but a basic induction for all new starters, including part-time and temporary workers is essential. Some persons may have specific training needs to investigate incidents, take part in audit activity or implement emergency procedures. A brief overview of training needs is shown in table below:

Manager H&S training needs	Non-Manager H&S training needs
<ul style="list-style-type: none"> • Leadership skills • Communication skills • Coaching and problem-solving skills relevant to health and safety • An understanding of local risks • Knowledge of relevant legislation and appropriate methods to assess risks and control hazards 	<ul style="list-style-type: none"> • An overview of H&S principles • A detailed knowledge of H&S arrangements relevant to their job • Communication and problem-solving skills to participate in H&S activities • Introduction to new equipment, technology or job changes

- Knowledge of the planning, measuring, reviewing and auditing arrangements.

Training methods need to suit the training objectives and can take place internally or externally. This may be offered by formal training, e-learning, instruction and on-the-job coaching. Training should be carried out by persons with appropriate knowledge, skills and experience. Where external trainers are engaged, these persons will be selected based upon the following criteria. If possible all internal trainers should be subject to the same form of assessment to determine their level of competency.

- when possible, formal qualifications and accreditation with NZQA or other standards setting body as a training provider for the subject matter;
- an understanding of the HSWA, relevant legislation and/or industry requirements;
- knowledge of the University of Waikato health and safety management system and procedures.
- experience and past performance in delivering training to the University;
- recognised credibility within their field of expertise;
- for new providers, the submission of a satisfactory training plan or programme may be necessary to ensure that facilities and resources are appropriate for the type and level of training required;

There are two H&S e-learn modules available at [healthandsafety/resources](#): Safety for Managers and Manual Handling. Records of training and copies of qualifications and certificates will be retained in personal files. The Line Manager should also have systems to ensure that all time-based qualifications and competencies are renewed, prior to the expiry date.

It is important to note that training is not a substitute for effective risk control or to compensate for poorly designed work or workplaces. Workers have the right to cease work and report to their manager if they are unsure of the safety of any work practice.

Worker engagement, participation, and representation

The HSWA requires that workers be consulted, not just informed, about issues in the workplace that affect their health and safety. This consultation needs to be carried out proactively, before injury or illness occurs. Workers need to be made aware the hazards in their work environment and the controls so they are able to take action to avoid work practices likely to lead to injury. Involving workers in decisions about changes that affect their health and safety and responding to their concerns, helps to establish common commitment to hazard controls.

The establishment of designated work groups and the election of health and safety representatives (HSR) is the most common form of engagement and, where workers are represented by a HSR, consultation must involve that representative. Common methods of communication include meetings, email, noticeboards, signage, annual reports and other publications. The worker engagement procedures are further documented in the Employee Engagement, Participation and Representation Policy.

To further promote a good safety culture, it is essential that excellence in H&S be formally recognised. This is primarily achieved through the annual Staff Excellence Award for H&S. Nominations are invited each year for employees to be recognised for their outstanding achievement, innovation or performance in aspects of health and safety (such as maintaining an exemplary safe work environment, performing an extraordinary example of safety management, recommending a safety innovation, providing outstanding services to health and safety management).

Health monitoring and vaccination

The position description describes the skills, education and other specific requirements of each position. The onus is on the job applicant to openly and honestly complete a health self-disclosure on the Employment Application form declaring any condition that may affect their ability to safely

carry out the job role. Misleading or incomplete information may be grounds for termination of employment.

Where health hazards such as exposure to loud noise, fumes, human or animal disease and hazardous substances cannot be effectively minimised, vaccination and regular biological monitoring may be required. Baseline data will be established at the initial testing for each individual and this data will be used to compare with subsequent test results to determine if deterioration of function has occurred. The cost of routine environmental and medical health monitoring is to be factored into budgets as a part of their operational expenditure. Additionally, workers whose health may have been affected during an incident may be offered immediate health monitoring.

If health monitoring indicates hazard controls are insufficient, causal factors must be further investigated and controlled to reduce future harm to individuals. All health records will be treated as confidential, and any reporting will protect the individual's right to privacy.

Where workers are at significant occupational risk of acquiring a vaccine-preventable disease, they will be encouraged to be immunised. Refusal to be vaccinated will not prevent employment but may require lead to changes in their task allocation. At-risk occupational groups identified in the NZ Immunisation Handbook include health care workers, teachers, laboratory staff and plumbers.

Document management

The University strives for excellence in managing its H&S systems by ensuring that managers, employees and contractors have access to appropriate and current information pertaining to its business and operations. For this purpose, relevant information is sourced and disseminated by Health and Safety Services. Internal communication methodologies include iWaikato, posters, newsletters, meetings and this manual. Health and Safety Services sources updates from local authorities, affiliations, networks with other employer groups, attendance at conferences and seminars, industry training organisations, subscriptions to external groups and from websites supported by Ministries responsible for monitoring workplaces, (Ministry of Business, Innovation & Employment (MBIE), Worksafe New Zealand, ACC and other authorities).

H&S records and data can cover a number of different aspects including incident data, occupational health records, statutory checks, actions arising from inspections, training attendance, risk assessments etc. These records need to be used in a structured way to identify any trends or patterns that might be emerging. This process provides the opportunity to confirm if the level of risk is acceptable or to determine if objectives are being achieved. There is currently a data gap for occupation health as there are no guidelines for statutory health monitoring or for vaccination preventable diseases.

Because H&S documents communicate legislated standards and record compliance, the records should be current and comprehensive. Obsolete documents and data need to be removed from use and archival documents retained for legal or knowledge preservation. The NZ Universities Records Disposal Schedule section 7.8 and the UoW Classification Schedule for H&S records provide guidance on the retention and disposal with time periods varying from 2 years for administrative records to 40 years for occupational health records. All information that relates to an employee's personal details will be retained in secure storage by the employer.

H&S in procurement

The delegated person approving procurement will ensure a pre-purchase risk assessment to ensure that health and safety considerations are incorporated into the design and selection of new plant, services chemicals and equipment. When new equipment, materials, services or work processes are introduced, or existing procedures or resources are significantly changed in the workplace, it is important that all hazards are identified and risks controlled appropriately.

Service contractors must provide the following documentation to the contract owner for pre-award assessment:

- records of the company's health and safety performance over the last year including accidents, notices and prosecutions;

- evidence of relevant insurances (i.e. public liability, workers' compensation)
- evidence of a safety management system (i.e. H&S policy and procedures)

Accreditation with ACC Partnership Program is considered an advantage when considering a contractor for preferred provider status. Preferred providers are entered on Unimarket.

The contract owner must ensure that all contractors and sub-contractors are inducted to the site, adequately supervised and carry out regular reviews of the contractor performance (during and after the contract completion).

Notifiable work

Specific types of planned hazardous work must be notified to WorkSafe NZ using their Notification of Particular Hazardous Work online form to promote the prevention of harm to all persons at, or in the vicinity of, a place of work. Notifiable work includes:

- Work involving the removal of asbestos
- Any commercial logging operation or tree-felling operation
- Any construction work listed below:
 - The erection or dismantling of scaffolds over 5 m
 - Any excavation more than 1.5 m deep.
 - Any form of tunnel or drive where workers work underground
 - Excavations where the excavated face is steeper than one horizontal to two vertical.
 - Any construction work where explosives are used or stored.
 - Diving, where workers breathe compressed air or gas
 - Work where workers could fall 5 m or more, excluding work carried out from a ladder only, or maintenance or repair work of a minor or routine nature.
 - Lifting <500 kg or <5m vertical distance other than by a mobile crane, excavator or forklift.

Hazardous substances (chemicals)

In December 2017 new regulations controlling storage and handling of hazardous substances were introduced. The existing HSNO Exempt Laboratory Code of Practice has been updated to provide continued guidance to universities and research laboratories. There are stronger provisions for laboratory management including clear accountabilities, signage and access control.

Each area where chemicals are stored or used must have a register showing as a minimum the product name, CAS or UN number, classification, quantity, and location. This register must be kept up to date and provided to both the building warden and Unisafe to inform emergency response services.

Chemical handlers must be familiar with the safety data sheet (SDS) for each product they use and understand the GHS pictograms on the label. Where the need for personal protective equipment has been identified, managers must ensure that these items are used.

3. CHECK

The procedures for incident reporting and recording are addressed in the Incident Reporting policy. The move to new online reporting system RMSS in early 2017 will widen access to students, contractors and other persons and improve the quality of incident investigations by prompting investigators to look at procedural, environmental and behavioural factors during an investigation.

Workplace observation and inspection

Workers should be actively engaged in regular workplace observation to confirm that workplace hazards are being effectively controlled. This may be as simple as daily pre-work equipment checks or tool box meetings. There should already be systems in place for equipment monitoring and preventative maintenance. This is particularly important where equipment requires statutory inspection or testing.

More formal documented inspections should be undertaken each quarter by local managers to proactively identify workplace hazards before injury occurs. Where hazards cannot be immediately controlled, due to budgetary or other constraints, there must be a process for developing an action plan and escalating to the next level of management. The Risk Management Framework provides guidance on the acceptable levels of risk:

- Low risks can be managed by routine procedures and do not require specific application of resources.
- Medium risks may be accepted without change but there should be a review date.
- High risks are deemed unacceptable and need an agreed action and allocation to a manager for action, then a review date to ensure that the hazard is being adequately controlled.

Monitoring activities should be on meeting agendas and significant findings from inspections should be discussed at management meetings. The RMSS actionmanger tool may provide the process for recording and tracking the status of actions until completed or to prompt escalation when actions are not completed within agreed timeframes. The persons involved in inspection, testing and monitoring should have suitable skills and experience. These actions will be captured in a new procedure for workplace periodic inspections.

Incident and other reporting

An incident is any unplanned or uncontrolled event that exposes or has the potential to expose any person, property or environment to harm. The Incident Notification Form accessed on staff and student home pages is designed to capture relevant details of every incident and direct form to the relevent manager for action. Managers should confirm accuracy of information and investigate the incident to identify the contributory factors in consultation with affected persons. It is necessary to clearly demonstrate post-incident that:

- where significant risks have been identified appropriate action is taken to eliminate or reduce them;
- appropriate information, instruction, and training was given to those directly involved with the work or activity or need for additional employee training reassessed;
- residual risks are assessed as moderate or low;
- determining whether current policies and procedures need to be changed to prevent recurrence of incident type.

In some circumstances it may be necessary to engage external specialists to provide advice on incident investigation and risk assessment. Health and Safety Services can provide advice and guidance on the required professional competencies and recommend appropriate providers, although any costs will be allocated to the originating department. Any incident related documents should be attached to the incident form. H&S Services prepares regular incident and claim reports for senior leadership teams and University Council.

Notifiable event

Some incidents require immediate notification to an external agency such as Worksafe NZ, Police, NZ Transport Agency, Maritime NZ, or relevant energy provider. As this notification must be given by the fastest possible means in the circumstances, H&S Services must be notified immediately of any potential notifiable event. The Health & Safety Coordinator is responsible for reporting to WorkSafe NZ and other authorities. All University employees are required to assist and cooperate with officials from WorkSafe New Zealand, Police and any other official investigation agents related to the event. The University must keep a record of each notifiable event for at least five years from the date on which notice of the event is given to WorkSafe NZ.

Any of the injury or illness that requires the person be admitted to a hospital for immediate treatment is notifiable to Worksafe NZ. Other delayed responses such as medical treatment within 48 hours of exposure to a hazardous substance or serious infection (including occupational zoonosis) to which the carrying out of work is a significant contributing factor are also notifiable.

A notifiable incident is also an unplanned or uncontrolled incident in relation to a workplace that resulted in:

- * an escape, a spillage, or a leakage of a substance;
- * an implosion, explosion, or fire;
- * an escape of gas or steam;
- * an escape of a pressurised substance;
- * an electric shock;
- * the fall or release from a height of any plant, substance, or thing;
- * the collapse, overturning, failure, or malfunction of, or damage to, any plant that is required to be authorised for use in accordance with regulations;
- * the collapse or failure of an excavation or any shoring supporting an excavation;
- * the inrush of water, mud, or gas in workings in an underground excavation or tunnel;
- * the interruption of the main system of ventilation in an underground excavation or tunnel;
- * a collision between 2 vessels, a vessel capsizes, or the inrush of water into a vessel;

A notification may be given by telephone or in writing (including by email, or other electronic means); and must be given by the fastest possible means in the circumstances.

All reasonable steps must be taken to ensure that the site where the event occurred is not disturbed until authorised by an inspector, except to prevent further harm to people and/or further loss or damage to equipment or buildings. H&S Services must be immediately informed of any potential notifiable event as H&S Services is responsible for reporting to WorkSafe NZ. The University must keep a record of each notifiable event for at least 5 years from the date on which notice of the event is given to WorkSafe NZ.

Injury management

Everyone in New Zealand has 24-hour, seven-day-a-week, no-fault comprehensive injury cover through the Accident Compensation Corporation (ACC). The University of Waikato is accredited by the ACC Partnership Programme to self-insure our employees' workplace injuries. The University of Waikato has developed and maintained systems that prevent harm, and support employees when injured. This manual describes the process to assist managers to support injured workers. Although injury management is an essential element of any H&S system, this manual focusses on injury prevention and incident management. For guidance on injury, claim and rehabilitation management refer to relevant manual on iWaikato. Refer to Unisafe Emergency Instructions for medical emergency response.

4. REVIEW

Management review

For audit purposes, there needs to be evidence that formal reviews of the H&S management system and planning outcomes have been considered at an executive management level and that decisions are made as to what improvements are required to maintain or improve H&S. This is primarily fulfilled through the role and function of the H&S Advisory Committee that is an advisory committee to the Executive Leadership Team, reporting to University Council through the Audit and Risk Committee. The University Council sets the key performance indicators and annual targets for H&S. These will be communicated and reported through the Senior Leadership Team and other appropriate forums.

Document control

Because H&S documents communicate legislated standards and record compliance, the records should be current and comprehensive. Obsolete documents and data need to be removed from use and archival documents retained for legal or knowledge preservation. The NZ Universities Records Disposal Schedule section 7.8 and the UoW Classification Schedule for H&S records provide guidance on the retention and disposal with periods varying from 2 years for administrative records

to 40 years for occupational health records. The H&S Manager is responsible for ensuring that health and safety documentation is current and relevant. All documents will have a title, issue date and version and if relevant a review date.

Links to relevant legislation, Approved Codes of Practice, Standards, guidelines and other relevant reference materials will be available on the University intranet

Internal audits

The University has an effective system to ensure compliance with legislative requirements with annual self-assessments using Complywith audit templates. Outcomes and corrective actions are reported to the Audit and Risk Committee.

To determine the level of compliance with the ACC Accredited Employer Program standards for safety and injury management within each faculty/division, and to enable the Vice Chancellor to gain a clear understanding of the actual performance of health and safety in all areas of the University, an annual self-assessment must be completed using the AEP self-assessment template. While management and employee representatives should be involved in this assessment, the most senior Faculty or Divisional representative as a true record of the system and activities must sign it off.

External audits

To maintain ACC accredited employer status, our safety and injury management systems are audited annually by the ACC. The ACC selects the organisational units and claims for audit. Further operational and financial audits are carried out by PwC and Audit NZ.

While the essential components of the H&S management system are described in detail above, we acknowledge the benefits of other management systems such as those for resource allocation, procurement, performance appraisal, communication and reporting, training and development, records management and policy development to measure and improve our safety culture.

Appendix 1 Definitions and abbreviations

AEP	Accident Compensation Corporation Accredited Employer Program
Audit	A systematic examination against defined criteria to determine whether activities and results conform to planned arrangements and are suitable to achieve the organisations objectives
Best practice	A method or technique that has consistency shown superior results, used as a benchmark.
Competent person	A person who has the necessary training, knowledge or experience to perform their allotted task safely and effectively
Control of risks	Apply hierarchy of control: elimination, isolation or minimisation
Due diligence	To take reasonable steps to acquire and keep up to date knowledge of health and safety matters, as well as have processes for receiving and considering information about hazards and responding in a timely way to that information
Emergency planning	Based on AS/NZS 3745 Planning for Emergencies in Facilities and Fire Safety and Evacuation of Buildings Regulations 1992
Hazard	A source of potential harm whether human injury or ill health, property damage or damage to the environment.
H&S Services	H&S Manager and H&S Consultant located in OVC
HSR	A worker elected as a health and safety representative in accordance with HSWA sec.2.3. Also referred to as HSR.
HSWA	Health and Safety at Work Act 2015 and related Regulations
Lead and lag indicators	Reactive and proactive measures of health and safety performance such as accident rates, training records, audit results, preventative maintenance, occupational illness
PCBU	Person controlling a business or undertaking (The University of Waikato)
Risk	The possibility of an adverse event occurring.
Safety	A state in which the risk of harm to persons or damage is limited to an acceptable level
so far as reasonably practicable	This requires the assessment of cost, along with information about relative costs, effectiveness and reliability of different control measures.
Worker	Employees, contractors, subcontractors, labour hire workers, outworker, apprentices, trainees, and volunteer workers
Workplace	Any place where work is carried out on land, sea or air.

Appendix 2 Hazard types and risk matrix

Biological	Microorganisms	Animals
	Insects	Plant
	Human	
Social	Behaviour, non-deliberate	Workplace stressors
	Behaviour, deliberate	
Biomechanical	Work layout	Work design
	Personal condition	Work tasks
Physical	Noise	Below ground
	Radiation (Ionizing)	Work surfaces
	Radiation (Non-Ionizing)	Working at height
Environmental	Climate (indoor)	Water
	Climate (outdoor)	Water or air under pressure
	Air quality	Lighting
	Visibility	
Chemical	Health hazards (Class 6- 8)	Eco-toxicity (Class 9)
	Physical hazards (Class 1-5)	

Hazard exposure and risk levels to be determined at a local level using agreed risk matrix

		Consequence of adverse event				
		Minor	Moderate	Serious	Major	Catastrophic
Likelihood of occurrence	Certain	H	H	VH	E	E
	Almost Certain	M	H	VH	VH	E
	Likely	L	M	H	VH	VH
	Unlikely	L	M	M	H	VH
	Highly Unlikely	L	L	L	M	H

Appendix 3 Training needs analysis

Training objectives

- To achieve H&S strategy and objectives
- To optimise training impact and expenditure
- To identify and categorise H&S training options
- To source innovate blended delivery options to meet individual needs

Training categories



Training methods

	induction	post-induction support	System / Service Training	ongoing soft skills training	career development
1. Classroom, internal	✓		✓	✓	
2. e-learning	✓	✓	✓		
3. on-one-on coaching		✓	✓	✓	
4. buddy training	✓	✓			
5. on-the-job	✓	✓			
6. conference, external			✓	✓	✓
7. vendor training			✓		
8. Classroom, external				✓	✓
9. Webinar/app-based			✓		✓

H&S training modules

Course	Methodology	Target audience
Induction	1, 4, 5	All new staff
Occupational First Aid	1	First aiders biennially
Emergency Response	1	Emergency wardens annually
Manual Handling	2, 3	Staff undertaking hazardous manual handling
Manager Introduction to H&S	2, 3	All people managers biennially
Equipment specific	7	Staff using equipment
Professional development	1, 3, 6	Optional, all staff
Injury management	1, 3, 5	People managers with injured workers
Hazard control	1, 5	Staff undertaking risk assessments
HS Reps approved course	8	Elected Health and Safety representatives
The Accidental Counsellor	7	Academic staff
Self-resilience	7	Optional, all staff