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2019

# Health and Safety Framework

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UNIVERSITY OF WAIKATO

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## Executive Summary

Until 2014, the University of Waikato (UoW) had maintained tertiary status in the ACC Partnership Program (ACCPP) for ten years. Based on deteriorating claim performance and lack of documented safety management systems, our status was demoted to primary level in October 2014. During this same period, there were substantial changes to the approach required for managing workplace safety with the introduction of the Health and Safety at Work Act (HSWA) in April 2016. Both these actions, underpinned by substantial internal management changes at the University of Waikato (UoW), have provided the impetus for the restructure of our health and safety (H&S) management system.

The proposed framework for the H&S management system is the plan-implement-check-review cycle:

- |           |  |
|-----------|--|
| PLAN      | This starts with a revised H&S Policy which sets out a strategy appropriate to the nature and scale of the University risks along with clear accountabilities for achieving agreed objectives and targets.   |
| IMPLEMENT | The University needs to define, document and communicate the procedures and processes for maintaining and providing a safe place of work. The HSWA has introduced very broad definitions of worker and workplace. Students are covered in the HSWA as 'other persons in our workplace' and must also be protected from harm. |
| CHECK     | Active and reactive measurement and monitoring is required to inform and review hazard controls. From these activities, senior managers and officers will be provided with regular reporting on performance results, trends, system failures and recommendations for continuous improvement.                                 |
| REVIEW    | The university needs to undertake a formal regular review of the H&S management system to confirm its effectiveness.   |

H&S fits into the UoW Strategy (Appendix 1) as one of its sustainable practices. In seeking a sustainable safety culture, it is recommended that 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.

The H&S Action Plan (Appendix 2) includes the review of key policies for H&S and employee participation in addition to novel actions such as the establishment of a H&S Advisory Committee and a new manager periodic action to inspect the workplace and work procedures. The H&S Action Plan will be substantially supported by the implementation of RMSS, a cloud-based software solution to capture and analysis data for informed reporting and decision making.

Although injury management is an essential element of any H&S system, this framework focusses on health and safety management as our ACC claims administration is outsourced to WorkAon. The next ACC audit is scheduled for October 2016. It is anticipated that an improved audit outcome will be achieved but there are substantial changes required to minimise risks as significant injury claims are still occurring.

Prepared by Nan Austin, H&S Manager  
for Neil Quigley Vice Chancellor  
v.4 September 2016

## **Introduction**

In May 2016, the University of Waikato (UoW) took a significant step towards adopting a systematic and robust approach to the development and implementation of an effective health and safety (H&S) management system to prevent injury and ill health in the workplace. This is an important business decision as there is a wide range of stakeholders with a legitimate interest in how we manage health and safety, especially our employees and students who directly benefit from high standards of health and safety.

The tertiary education sector is a diverse and complex sector in which each institution has its own list of workplace hazards and risks that it must manage. Based on feedback through the Australasian Universities Safety Association, the regulator Worksafe NZ considers this sector a low risk and thus has been unwilling to engage in any consultative forums. There is very little further guidance on the regulator expectations as the Worksafe NZ 10-year strategy expired in 2015. This leaves the UoW to independently develop our own structure for managing hazards to prevent physical and psychological injury.

## **Scope of H&S management system**

The UoW opted into the ACC Accredited Employer Program (ACC AEP) in 2000 as this program can offer significant financial savings for large employers who meet and maintain acceptable levels safety management and injury management in the workplace. The ACC requires active monitoring including an annual self-assessment, an annual independent verification audit and an annual review of financial information. The ACCPP audit standard is divided into three main parts: elements one to nine that cover safety management practices, elements ten to seventeen cover injury management and elements eighteen and nineteen include focus group interviews and case studies to confirm that safe systems are effective and active. Although injury management is an essential element of any H&S system, this framework focusses on health and safety management as our claims administration is outsourced to WorkAon; although the University is still ultimately responsible for claims management.

The overall aim of the UoW H&S management system is to develop, document and implement processes which eliminate identified hazards or reduce the risks imposed by these hazards to an acceptable level. UoW hazards can be grouped under six broad headings: physical hazards, environmental hazards, social hazards, biological hazards, ergonomic hazards and chemical hazards (see Appendix 6 for more detailed breakdown of these hazard types). Implementation of a H&S management system should lead to a reduction of work illness and injury thus minimising the self-insured costs associated with workplace accidents.

The new HSWA informs the accountabilities and responsibilities for H&S at each level with UoW. Clearly the members of University Council and Executive Leadership Team hold the officer duties for governance and strategic management. Other senior and line managers need to implement the agreed safety management arrangements to protect staff, students, visitors and contractors within their faculty/school or department. Underpinning this is the responsibility of all persons in the workplace to look after their own safety and the safety of others.

## **Where are we now?**

Injuries and illness resulting from contact with hazards may incur medical costs and work absence but these are only one component of financial loss. Damage to property and other indirect costs to manage accidents impose loss. When measured against the direct cost of ACC claims, the safety performance at UoW has been deteriorating over the past five years; which is the inverse response when compared to the NZ tertiary education industry performance. There is also a gap in incident reporting as there are currently only four incidents reported for every claim submitted. Studies from other organisations has established a minimum ratio of one claim to seven reported incidents.

Based on the incidence of adverse events at UoW over the past three years, that have resulted in accepted ACC claims, the physical environment poses our highest safety risk, closely followed by biomechanical hazards resulting in personal strain injuries. These risks are further emphasised by the documented education sector risks identified by the regulator Worksafe NZ as being: slips, trips and falls, lifting and carrying, workstation ergonomics and workplace bullying.

Accidents, injuries, and incidents are seldom random events. These arise from failures of hazard control and involve multiple contributory factors. Our current injury performance is unacceptable and clearly managers need to proactively identify and remove hazards, before injury occurs. The deficiencies in our H&S management system were identified by the ACCPP auditors, as in 2014 our performance standard was reduced from a tertiary level of best practice down to the primary level. We advanced to secondary level performance standard in 2015 and anticipate regaining tertiary status again in 2016. [Note: this did not occur in 2016 due to a critical non-compliance in the calculation methodology for weekly compensation payments to injured workers; while safety management was rated at the secondary level. Tertiary AEP status was regained in 2017].

The recent endorsement of the UoW Risk Management Framework provides an agreed platform upon which to assess the risks that may arise from the identified hazards and also establishes the level of acceptable risk to inform the resources to be allocated to hazard control activities.

### **Where do we want to be?**

While a key driver for implementing a H&S management system is the legal imperative established by the new HSWA, there are also ethical issues, industrial relations considerations, and financial gains to be considered. The HSWA does not require the UoW to prevent accidents from happening. It requires us to take practicable reasonable steps to provide and maintain a safe work environment. The non-negotiable objective is legal compliance. However, we will look towards others in the tertiary education sector for benchmarking of our actions and outcomes.

### **How do we get there?**

A H&S framework describes how H&S will be managed at UoW. The development and implementation of improved H&S management systems, with self-auditing, will provide the structure for the identification of hazards imposed by the activities and services of UoW and to assess the level of risk controls to be implemented.

As the principles and approach to managing H&S are similar to those advocated for managing quality, this framework maps to the plan-implement-check-act (PDCA) cycle to provide a clear structure. The Australian/New Zealand standards for occupational health and safety management systems [AS/NZS 4804 guidance and AS/NZS 4801 specifications] and the ACC AEP audit standard have also provided guidance on the structure, underlying principles and their integration with other management systems.

A new framework for H&S, supported by improved planning based on agreed actions and increased monitoring, will provide evidence to measure the effectiveness of the H&S management system to meet our legal, social and economic goals. It is important to note that the ACC provides a disclaimer that achieving their ACCPP audit standards does not mean we are compliant with relevant legislation.

### **H&S Framework**

The proposed framework of the H&S management system is shown below in tabular and graphical format on the next page. The H&S framework will assist us to set out policy and objectives, establish and review the effectiveness of related procedures, achieve conformance with the objectives and demonstrate conformance to others by self-audit. The success of the H&S management system will depend on commitment from all levels and function of UoW. The

implementation of this framework will be expanded upon in the H&S Strategy and annual H&S Action Plans. [Note: published on H&S website <https://www.waikato.ac.nz/healthandsafety/hazard-management>]



Principle	Element	Source requirement
<b>Plan</b>	Leadership commitment and H&S policy	ACC element 1; 4801 sec 4.2, 4.4, 4.6
	Planning, review and evaluation	ACC element 2; 4801 sec 4.3, 4.4, 4.5
	Emergency preparedness	ACC element 7, 4801 sec 4.4
<b>Implement</b>	Accountability and responsibility	4804 sec 4.3
	Contractor arrangements	ACC element 8, 4804 sec 4.4
	hazard assessment and risk control	ACC element 3; 4804 sec 4.3, 4.4
	Communication and consultation	ACC element 6; 4801 sec 4.4
	Training	ACC element 4; 4804 sec 4.4
<b>Check</b>	Measurement and evaluation	4804 sec 4.4
	Data collection and analysis	4004 sec 4.3
	Document control	4801 sec 4.3
	Incident reporting and investigations	ACC element 5; 4801 4.4, 4.5
<b>Review</b>	review and improvement	4804 sec 4.5

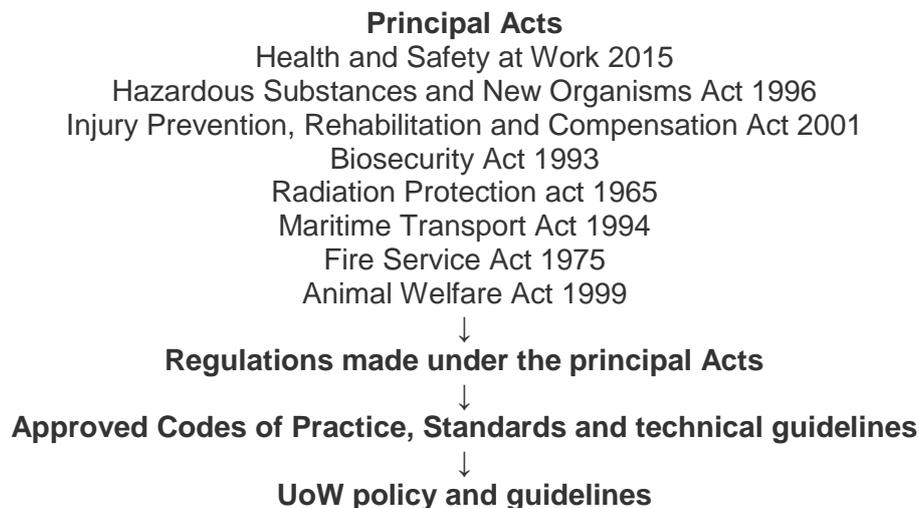
# 1. PLAN

## H&S Policy

To clearly demonstrate active, consultative commitment to all areas of H&S, a policy is required. This policy needs to set the direction for H&S and incorporate responsibilities along with a strategy for continuous improvement. This document must be authorised by the current CEO (Vice-Chancellor) and be reviewed at least every 2 years. The ACC audit template also requires a specific commitment for accurate reporting of workplace incidents in this policy.

The current UoW H&S Policy, dated April 2014 and now due for review, provides a sufficient statement of intent but does not offer guidance on the implementation of H&S Strategy nor does it provide the clear accountabilities for planning, measuring, reviewing and auditing of H&S activities. As these functions may not be exclusive to specific groups, boundaries of discretion need to be established. A key part of establishing control is to set performance standards based on defined work with measurable outputs and to assess individual management performance against designated H&S responsibilities. The draft revised H&S Policy is in Appendix 5.

The HSWA moves from the traditional employer/employee construct to recognise a broader framework of modern employment relationships. The new term 'worker' now includes employees, contractors, employees of contractors, sub-contractors, labour hire employees, outworkers, casual employees, work experience students, and volunteer workers. The UoW has an obligation for the health and safety of all these persons whilst they are undertaking duties on behalf of the University. As this responsibility may be shared with other PCBUs, consultation is an essential part of any H&S system. Review of the H&S Policy is a key activity in the H&S Action Plan. The legislative framework for H&S is shown in the chart below:



## Planning, review and evaluation

Successful implementation of the H&S framework requires an effective planning process and well defined, measurable objectives. The planning process should address the regular ongoing identification of hazards, and control of risk. This hazard management must be carried out in consultation with employee representatives and other affected workers. A training needs analysis, to support the H&S system implementation, will focus explicitly on individual jobs or tasks.

## Setting objectives

The control of risk is necessary to secure compliance with the requirements of the HSAW and its related statutory provisions. Given the current fractured status of H&S systems at UoW, the initial focus should be on training so that all persons can contribute to H&S system development. Once a foundation of competence is established, improved planning and risk assessment processes should

emerge which will lead to improved control over significant risks. As improved controls are established, the emphasis can then shift to devising and maintaining more comprehensive risk control and management systems. While the preferred control principle is to eliminate rather than minimize risk, the qualifying words 'so far as reasonably practicable' can be legally applied. This requires the assessment of control cost, along with information about relative costs, effectiveness and reliability of different control measures.

H&S objectives need to be specific, measurable, agreed with those who deliver them, realistic and set against a suitable timeframe (SMART). Both short- and long-term objectives should be set and prioritised against other business needs. Different objectives will be required within different parts of the University and should encompass both lead (input based) and lag (output based) indicators.

#### Measuring and reviewing performance

Performance standards are the foundation for a sustainable safety culture. The ACC AEP already requires annual systematic self-audits to measure the effectiveness of the systems for both safety and claims management at a faculty and divisional level. These audits are initiated by H&S Services using the RMSS auditmanager tool, prior to the annual ACC external audit scheduled for October.

This annual auditing must be supplemented by regular active monitoring. This includes the annual survey of employee satisfaction, regular environmental monitoring, and periodic inspections of premises, plant and equipment. Reactive monitoring is triggered by incident reporting and other hazard identification activities.

Other performance standards relate to the contribution of individuals. While this necessitates that accountabilities be built into position descriptions and annual performance appraisals, the main way of achieving the required performance standards is by recognising and rewarding positive behaviour. Interestingly, the ACC AEP requires evidence that excellence in H&S management is formally recognised. This is primarily achieved through the annual Staff Excellence Award program that includes a H&S Excellence award for individuals and/or teams.

#### Emergency planning and readiness

The 2015 ACC audit report recognised that the UoW has a dedicated emergency response procedure and has identified a range of emergencies that may arise. Maintenance of these procedures and training is under the control of FMD Security. There seems to be limited guidance for emergency response away from the main campuses or for remote work.

A recent death on campus of a staff member from a personal condition highlighted gaps in first aid facilities and response. Although there are a large number of trained first aiders listed in the University Phonebook, there is no guidance document to inform the number or skill base of these emergency personnel or the first aid equipment to be maintained. Sites remote from medical assistance also need first aid appropriate to stabilise any injury until medical assistance can be accessed. These requirements will be documented in a Workplace First Aid Needs Assessment [Note: First Aid Policy was introduced in 2017].

In the event of an incident occurring, persons who are not physically affected may still suffer psychological effects that need to be resolved through debriefing and counselling. This service is offered through our existing Employee Assistance Program (EAP) service provider, Stratos (now Benestar). Each year about 3% of our staff access EAP, primarily for personal relationship and mental health issues.

## 2. DO

### Accountability for H&S

The 'person conducting a business or undertaking' (PCBU) is the primary duty holder under the HSWA. The PCBU is the legal entity carrying on the business or activity, so in our environment, the PCBU is the UoW as established under University of Waikato Act 1963.

<b>Assurance</b>  	<p style="text-align: center;"><b>Executive Leadership Team</b></p> <p>This group has the responsibility for shaping the strategic direction of H&amp;S and providing appropriate resources.</p>	<b>Strategic direction and strategic management</b>  <b>Governance</b> 	<i>H&amp;S Services provides advisory support to every tier of management</i>
	<p style="text-align: center;"><b>University Council</b></p> <p>This group must apply the principles of due diligence to ensure the effectiveness of H&amp;S systems.</p>		
<b>Management</b>  	<p style="text-align: center;"><b>Senior Managers</b></p> <p>This group has the responsibility for developing the strategic plan of a particular faculty/School/Department. This group may include Deans, Heads of School, Directors of Research, and Faculty Managers</p>	<b>Operational support</b>  	
	<p style="text-align: center;"><b>Line Managers</b></p> <p>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.</p>		
	<p style="text-align: center;"><b>Workers, students, and visitors</b></p> <p>Everyone is expected to share in the commitment to their own safety and the safety of others.</p>		

As the head of the University responsible for all administrative and academic affairs, the Vice Chancellor has the primary accountability for ensuring a safety work place and legal compliance. He is supported by the University Council and the Executive Leadership Team under officer due diligence obligations. However, the success of this H&S framework depends on maximising the contribution from all individuals. The relationship of these accountabilities is shown in the table below.

The accountabilities of each group is further expanded in Appendix 4. A duty imposed on a person by the HSWA is non-delegable and cannot be transferred to another person. A person may have

one or more concurrent, overlapping duties. It will be necessary to amend existing personnel systems such as individual job descriptions as these need to include specific responsibilities for H&S.

#### Hazard identification, assessment and control

All hazards should be identified and a generic list is provided in Appendix 5. [Note: 178 hazards and the associated precautions have now been included in the Capital Asset Management System for systematic analysis by asset owners]. A risk assessment will then inform the type and timing of hazard control. These steps are repeated as part of an ongoing process, especially when there are changes to the workplace or changes in legislation. The H&S Manual, published on the H&S website, lists a number of ways that hazards can be systematically identified depending on the work environment and tasks undertaken:

- physical inspection
- trend analysis of accident reports
- workplace observation
- analysis of hazard reports
- task analysis
- operational experience
- review of position descriptions
- employee consultation

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 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 control measures to achieve the desired level of risk.

Hazard control actions will be further supported and documented by the rollout of RMSS, a cloud software solution for the integrated reporting of risk assessments, events, and decision making across our multiple campuses and users. Using this information, RMSS will provide automated real-time dashboards to pulse-check critical compliance processes. [Note: RMSS will be discontinued at end of 5-year maintenance contract in June 2020. ITS Solution Delivery team will advise on alternative options in early 2019.]

As H&S 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. Changes have already been made to procurement documents and further opportunities will be sought to tighten the procedures for the design, selection, purchase and installation of plant, substances and services. We can also place strong reliance and expectations on our upstream PCBU's (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.

#### Information, training and competency

The key to effective training is to understand job requirements and individual abilities. However, everyone in the organisation needs to know about the H&S Policy and philosophy that underpins the policy and the structure of systems for delivering the policy. People also need to know which parts of the system are relevant to them, to understand the major risks and how these are controlled. This group includes contractors and visitors as well as students and employees. Common methods of communication include meetings, email, noticeboards, signage, annual reports and other publications.

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. [Note: all managers are required complete an online quiz biennially to assess their understanding of the principles of safety and injury management. Completion of this training is reported as a KPI to the University Council.] A brief overview of health and safety training needs is shown in table below:

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

The ACC AEP audit tool drills down to the knowledge required by all employees for the control of risks without consideration of management training requirements, beyond supervision of new employees. This audit element is also very specific about staff induction content and requires tight controls around training records and evaluation. However, an effective H&S management system begins at the recruitment stage to ensure that employees have the necessary physical and mental abilities to do their jobs, or can acquire these through training and experience. [Note: in addition to H&S input to monthly orientation, a H&S Induction checklist for new employees was introduced in 2017. This is sent to the line manager of new starters along with a cheatsheet on responses to encourage discussion about job role, hazards and safe work procedures].

Training methods need to suit the training objectives and can take place internally or externally. This may include formal classroom training, elearning, instruction and on-the-job coaching. Training should be carried out by persons with appropriate knowledge, skills and experience. Importantly, training should not be offered as a substitute for risk control or to compensate for poorly designed work or workplaces. There are two elearn modules available on iWaikato: one titled Safety for Managers and one focussing on manual handling as a key injury risk. [Note: the range of elearn modules on Moodle has increased to include specific hazards such as drones and hazardous substances.]

#### Consultation, awareness and motivation

The HSWA requires workers to be consulted, not just informed, about H&S issues in the workplace that affect them. This needs to be carried out proactively, before injury or illness occurs. Involving workers in decisions about changes that affect their health and safety and responding to their concerns, helps to establish common commitment and goals. 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.

The election of health and safety representatives (HSR) is the most common form of engagement and, where workers are represented by a HSR, the consultation must involve that representative. Our established network of HSRs will be retained as this group has been very influential in promoting and supporting hazard identification and risk minimisation activities. However, it is now time for managers to more actively take up their accountability for consulting staff about issues that directly affect their H&S, through one-on-one discussions or as part of other meetings. The new

HSWA provides the opportunity to reshape the HSRs to focus their efforts more strongly on their consultative function. It is recommended that other consultative forums such as the FSEN Safety Committee continue in operation to address local needs although there will be a newly established UoW H&S Advisory Committee. The draft H&S Advisory Committee terms of reference are provided in Appendix 3. The worker engagement procedures will be further documented in the revised Employee Participation Policy. [Note: the H&S Advisory Committee meets quarterly and the HSR network remains robust with quarterly meetings.]

#### Contractors and sub-contractors

The H&S Manual identifies the contractor management process with a specific focus on service and maintenance contractors, rather than teaching and other white-collar contractors. While recent changes have been made to the standard terms and conditions in the goods and services contract, further controls are urgently required to physically manage the induction, supervision and review of contractors; as under the HSWA, contractors, employees of contractors and sub-contractors are now deemed workers of UoW so we are accountable for their safe work practices, procedures and equipment when working on campus. There is also an outstanding recommendation from the 2015 ACC AEP audit requiring improvements to the post-contract evaluation process. H&S is working with Finance and FMD to close this audit gap. [Note: the ACC auditor noted substantial improvement in FMD contractor management in 2018 audit report. In 2019, phase two of the Capital Asset Management System will introduce documented work plans to include hazards precautions and contractor authorisation.]

### **3. CHECK**

#### Incident reporting and recording

This element is relatively straight forward as there is a current system for reporting, recording and analysing incidents, injuries and work-related illness which has been deemed adequate at previous ACC AEP audit. Recent changes to the data capture file by IT has increased the visibility of all reported incidents and improved the analysis for reporting to management. The primary limitation of the existing incident reporting system is that it is only accessible by employees. A pending move to a new event reporting system using RMSS software should 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. [RMSS was implemented in May 2017 with online access for incident notification from both the staff and student homepages.]

#### Data collection and analysis

Data can cover a number of different aspects including incident data, occupational health, statutory checks, actions arising from inspection, training attendance, risk assessments etc. This data needs 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 occupational health as there are no guidelines for statutory health monitoring or for vaccination preventable diseases. [Note: a Health Monitoring Policy was introduced in 2018.]

#### 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 time periods varying from 2 years for administrative records to 40 years for occupational health records.

## 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 could be undertaken 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 discussed at local meetings and significant findings 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. [Note: RMSS functionality has not been expanded due to the excessive cost of system development and decision to disband the service at end of current contract.] 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. [Note: periodic inspections have not been introduced as there is no effective way to monitor completion or actions arising from this activity.]

## 4. REVIEW

### Management review

This H&S Framework encourages continuous improvement through the application of the PDCA cycle. 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 decisions made as to what improvements are required in the future to maintain or improve H&S. For this purpose, a new H&S Advisory Committee is proposed. This committee will be an advisory committee to the Executive Leadership Team. With reporting to University Council through the Audit and Risk Committee. This action will also fulfil the ACC AEP requirement for regular, ongoing forums that include management and employee representatives. [Note: H&S Advisory Committee meets quarterly with regular reporting to the University Council and the Audit and Risk Committee.]

While the essential components of the H&S management system are described in detail above, there may be opportunities for integration with other management systems such as those for resource allocation, reward and appraisal systems, communication and reporting, training and development, records management and policy development to gain further benefits.

## Appendix 1 H&S Strategy

H&S fits into the UoW strategic framework as one of the sustainable practices of University activity. 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.

Our safety LAWs are to Lead by example, ensure clear Accountabilities and to improve Wellness. Each of these LAWs is underpinned by the legislated requirement for proactive consultation and communication with affected persons. 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.

<b>Vision</b>	Towards a sustainable safety culture		
<b>Strategies</b>	<b>Lead by example</b>	<b>clear Accountabilities</b>	<b>improve Wellness</b>
<b>Strategic Imperatives</b>	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
<b>Broad objectives</b>	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
<b>Outcomes</b>	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
<b>Proactive consultation and communication</b>			
<b>Mission</b>	The manager who approves the risk, must manage the risk.		

## **Appendix 2 H&S Action Plan**

The 2016 action plan was successfully completed as reported to the H&S Advisory Committee. Annual H&S plans continue to be developed in consultation with the H&S Advisory Committee and relevant managers.

## **Appendix 3 Health and Safety Advisory Committee Terms of Reference**

See Committee Directory

[https://www.waikato.ac.nz/\\_\\_data/assets/pdf\\_file/0006/128454/CommitteeDirectory.pdf](https://www.waikato.ac.nz/__data/assets/pdf_file/0006/128454/CommitteeDirectory.pdf)

### **Purpose**

1. To serve as a forum for discussion and advice to the Vice-Chancellor on health and safety matters.
2. To recommend for the approval of the Vice-Chancellor a Health and Safety Framework that advances the University's commitment to health and safety, and includes measures against which the University's delivery of its commitments can be monitored and reported.
3. To regularly review the University's policies, plans, guidelines, actions and activities in support of health and safety and to make recommendations to the Vice-Chancellor accordingly on strategies to achieve the agreed health and safety objectives and targets.
4. Either on its own initiative or in response to requests, to consider and report on any health and safety matters that are referred to it by the Vice-Chancellor, Audit and Risk Committee or Council.
5. To report to the Audit and Risk Committee following every meeting with respect to its business under these terms of reference.

### **Constitution**

#### **Ex Officio Members**

The Vice-Chancellor, who is chairperson

#### **Appointed Members**

One Dean appointed by the Vice-Chancellor

One Divisional Director appointed by the Vice-Chancellor

One representative of the staff unions, appointed by the Combined Unions Committee and representing the major campus unions (AWUNZ, NZEI, PSA, SFWU and TEU)

#### **Elected Members**

Two members elected by and from the Health and Safety Representatives of the University (as listed in Appendix 2 of the Employee Participation and Health and Safety Policy) for a term of one year

#### **Co-opted Members**

The Vice-Chancellor may co-opt additional members for particular purposes

### **Notes**

#### **Quorum**

A quorum shall be four members; comprising two management representatives and two employee representatives.

#### **Sub-committees**

Ad hoc sub-committees will be appointed from time to time to provide advice on specific matters and will comprise staff of the University with relevant expertise or involvement and external experts as required.

#### **Meetings and Tasks**

Meetings shall be held at least four times a year. Further meetings may be arranged as required. The committee shall undertake an annual self-review of its objectives and responsibilities.

#### **Secretary**

H&S Manager

## Appendix 4 Accountabilities for H&S

### Strategic direction and management responsibilities

While the UoW as an entity is defined as the person undertaking or controlling a business (PCBU), it is the **Vice Chancellor** who must have 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 to other tiers of managers, so there must be a process to gain assurances that these responsibilities are being fulfilled.

<b>PLAN</b>	Establish a H&S Advisory Committee, chaired by Vice Chancellor
	VC to sign revised H&S policy statement as a demonstration of ownership, and to communicate safety values through the organisation
	Agree how the H&S policy will be measured, monitored and reported.
	Set H&S objectives and targets
	Determine what H&S risks should be included in the organisational risk register and agree the H&S risk profile and risk appetite
	Agree on the H&S competency framework
	Agree on the H&S audit program, based on risk profile
	Consider H&S implication of strategic decisions such as major projects or change.
	Ensure that occupational health is integrated into H&S management system
<b>DO</b>	Implement H&S Policy
	Regular communication with H&S Services
	Define TOR for H&S Advisory Committee
	VC to chair the H&S Advisory Committee
	Lead by example to raise H&S awareness and behaviour change
	Discuss H&S issues and performance with direct reports
	During site visit, follow local procedures and ask about H&S issues
<b>CHECK</b>	Ensure emergency procedures encompass all risks
	Confirm that your direct reports are aware of, and are acting on, recommendations from inspections, investigations and audits
	Review effectiveness of H&S resources
	Receive and review H&S KPI performance data
<b>REVIEW</b>	Review your own H&S performance and that of your direct reports.
	Share results and celebrate achievements with staff and students
	Seek feedback from staff and students for H&S improvements
	Respond to recommendations from external and internal stakeholders.
	Use the information from reports, audits, inspections, H&S committees to review the planning process

## Governance responsibilities

The **University Council** has oversight of matters related to health and safety and will make independent judgements on the effectiveness of arrangements to manage H&S. Officers do not need to be employees of a PCBU to hold due diligence liability.

<b>PLAN</b>	Ensure H&S matters are communicated in a timely fashion from and to the University Council
	Review the H&S Policy on a regular basis
	Review H&S objectives and KPIs on a regular basis
	Ensure that H&S appears as a regular agenda item at University Council meetings
	Be aware of significant H&S risks
	Consider H&S implications of strategic decisions such as major projects
<b>DO</b>	<i>University Council to confirm that:</i>
	H&S arrangements are adequately resourced
	Risk control measures are in place and acted on
	There is an effective process to identify H&S training and competency needs
	H&S Advisory Committee chaired by Vice Chancellor
	ELT and SLT has access to competent H&S advice
	There is a process for worker participation in decisions that affect their H&S.
<b>CHECK</b>	There is a process for auditing H&S performance
	Receive and reasonably evaluate lead and lag data and other indicators
	Ensure that management systems provide assurance about all university activities including significant partnerships, collaborations and wholly owned companies.
	There is a process to review emergency plans for effectiveness
<b>REVIEW</b>	University Council to be satisfied that there are regular independent reviews of H&S management
	To be satisfied that lessons are learnt from accidents and near misses
	Review audit processes to ensure that they are appropriate
	Regularly review H&S risk profile.

## Operational and strategic management responsibilities

As a **Senior Manager**, you are expected to implement your local safety management arrangements and manage hazards to protect staff, students, visitors and contractors working in your faculty/school or department.

<b>PLAN</b>	Align your local H&S plan to the UoW H&S strategy
	Use a risk profiling exercise to establish a local H&S risk register
	Include H&S as a standing agenda item in one or more local consultative committees
	Ensure consultation includes employee representatives and students
	Ensure that all new starters are inducted using agreed checklist
	Plan H&S management i.e. monitoring processes, KPIs, training needs
	Assign sufficient resources (personal, time and facilities) to achieve KPIs.
	Include specialist support for radiation safety, biosafety or other specialist roles
	Plan arrangement to ensure the H&S of staff, students, visitors and contractors
<b>DO</b>	Ensure effective processes for risk assessment of all activities
	Where responsibilities for risk assessment are delegated, make sure that the task being assessed is understood.
	Lead by example to raise H&S awareness and behaviour change
	Have regular communication with H&S Services
	Have oversight of all accident and incident investigations
	When approving purchasing equipment or product, consider the H&S implications
	Embed H&S arrangements in contracts
	Agree the H&S competency and training needs and set training objectives
	Assess H&S impacts at planning stage of new projects, courses etc.
<b>CHECK</b>	Attend safety inspections in your area at appropriate intervals
	Check that agreed H&S training objectives are being met
	Analyse H&S data to identify emerging trends
	Check that all recommendations from audits and inspections are implemented
	Keep staff informed of H&S performance and actively seek their views on improvements
<b>REVIEW</b>	Review risk management processes regularly
	Take action to implement recommendations from risk assessments
	Consider information from internal and external sources to inform the planning
	Review your own H&S performance and that of your direct reports
	Celebrate achievements

## Operational management responsibilities

As a **Line Manager** you are expected to implement your local H&S management arrangements and monitor their effectiveness. Defects and deficiencies need to be communicated to the appropriate person to ensure continual improvement. Supervisory staff also need to check that local arrangements and rules are being followed.

<b>PLAN</b>	Set reasonable objectives and plan use of resources to achieve your H&S objectives
	Use existing communication process for team collaboration on H&S issues
	Ensure that all staff understand what is expected of them
	Ensure that you understand local H&S policy and procedures
<b>DO</b>	Implement your local H&S arrangements, in line with UoW H&S policy
	Ensure risk assessments are undertaken and documented
	Ensure staff and students are aware of and follow relevant safety procedures
	Ensure visitors and contractors are provided with relevant H&S information
	Develop clear and concise procedures that include key safety information
	Ensure provision of induction training to all staff, students and contractors
	Ensure any new process is properly risk assessed prior to implementation
	Ensure all new equipment is checked for hazards, and users are trained
	Provide staff with health surveillance if identified
	Lead investigation into accidents and near misses
	Raise all issues of non-compliance through your line management structure
	Provide feedback to senior management on H&S issues
	Take appropriate action where an immediate H&S risk is identified including suspending activity pending reassessment of the risk
	Keep yourself up to date with H&S requirements in your area of responsibility
	Maintain an annual program of statutory testing
Lead a program of inspections and be involved in audits	
<b>CHECK</b>	Monitor that risk assessments have been completed and control measures are implemented
	Check that all statutory testing is carried out within the prescribed timeframes
	Monitor progress of actions arising from inspections and audits to completion
	Analyse H&S information to identify emerging trends
	Report to senior managers on findings from inspection and audits
	Use your H&S data to present information and discuss trends with others
	Check your progress and achievements against your H&S plan and objectives
	Monitor local training plans and safety inductions
<b>REVIEW</b>	Monitor corrective actions arising from audits to ensure they are completed
	Embed learnings from accidents and incidents in local procedures and training
	Contribute to the annual safety review of your faculty/school/department
	Respond to external influences arising from site visits, audits or changes to legislation
	Celebrate achievements

## Appendix 5 Hazard types

[Note: updated for Capital Asset Management System in 2018, see our 178 identified [hazards](#)]

<b>Workplace</b>	Work layout	Work design
	Climate (indoor)	Lighting
	Animals	Noise
<b>Hazardous Materials</b>	Health hazards (Class 6- 8)	Eco-toxicity (Class 9)
	Physical hazards (Class 1-5)	
<b>Natural Environment</b>	Climate (outdoor)	Water
	Air quality	Water or air under pressure
<b>Pharmaceutical</b>	Drugs	
<b>Mechanical &amp; electrical</b>	Noise	Vehicles
	Radiation	Equipment
<b>Welfare</b>	Behaviour, non-deliberate	Workplace stressors
	Behaviour, deliberate	

*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 6 Health and Safety Policy [Note: under review Jan 2019]

### Application

1. This policy applies to all staff and students of the University of Waikato.

### Purpose

2. The purpose of this policy is to set out the accountabilities and responsibilities of staff with respect to the provision of a safe and healthy environment for staff, students, contractors and visitors to the University.

### Principle

3. The University of Waikato is firmly committed to providing a safe and healthy environment for staff, students, contractors and visitors to the University and to continually improving systems, practices and resources to achieve this. A safe and healthy environment is achieved through the cooperation and compliance of every staff member with University procedures and standards which are developed through a participatory approach.

### Responsibilities

4. Staff members and students are responsible for:
  - a. observing safe work practices
  - b. following University procedures and complying with the [Health and Safety Manual](#), relevant University policies, legislative requirements, standards, codes of practice and best practice guidelines
  - c. complying with relevant and reasonable directives from managers and supervisors, and
  - d. taking all practicable steps to ensure their own safety at work and to ensure that their action or inaction does not cause harm to any other person.
5. Managers must manage health and safety within their areas of responsibility as an integral part of their day-to-day activities and must take all practicable steps with respect to their areas of responsibility to provide and maintain a safe and healthy environment by:
  - a. establishing and implementing appropriate standards and procedures
  - b. establishing and insisting on safe methods, safe equipment, proper materials, and safe practices at all times
  - c. providing appropriate training for staff
  - d. providing opportunities for staff to participate in health and safety forums and processes for the improvement of health and safety in the workplace
  - e. consulting staff during the development and review of procedures and work environment changes
  - f. ensuring compliance with the [Health and Safety Manual](#), relevant University policies, legislative requirements, standards, codes of practice and best practice guidelines, and
  - g. ensuring that safety takes precedence over expediency at all times.
6. The Health and Safety Manager is responsible for the development, implementation and monitoring of a [Health and Safety Framework](#), [Health and Safety Manual](#), relevant University policies, legislative requirements, standards, codes of practice and best practice guidelines that uphold the above principles including associated monitoring and reporting.
7. The Vice-Chancellor is responsible for strategic oversight of health and safety and the provision and maintenance of a safe and healthy environment, and delegates relevant responsibilities to managers as set out in clause 6 of this policy.

### Responsibility for monitoring compliance

8. The Health and Safety Manager is responsible for monitoring compliance with this policy and reporting any breaches to the Vice-Chancellor.
9. Breaches of this policy may result in disciplinary action under the [Staff Code of Conduct](#).

## Definitions and abbreviations

ACC AEP	Accident Compensation Commission 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
Health and Safety Representative	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.

## References

- AS/NZS4804 Occupational health and safety management systems – general guidelines
- AS/NZS4801 Occupational health and safety management systems – specification for use
- ACC Accredited Employers Programme Audit Standards 2017
- Risk Management Framework, University of Waikato 2016
- Health and Safety Management Profile, UK Universities Safety Association, 2012
- Health and Safety Guide: Good Governance for Directors, Worksafe NZ 2016
- General Records Disposal Authority for New Zealand Universities, 2008
- Tooma's annotated Health and Safety at Work Act 2015, Michael Tooma 2016