

Health and Safety – May Report

Recommendations

That the Board notes:

- i. The trends in the health and safety performance of the organisation and the measures being taken to improve the robustness of the data.
- ii. The actions being taken to improve the understanding of health and safety risk across the organisation.
- iii. The four significant health and safety incidents that occurred in May and the update provided on the incident that occurred in March.
- iv. The progress against the Health and Safety Strategy Work Programme and, in particular, the changed approach to the H&S Management Framework.

Executive summary

This report provides a summary of health and safety across the organisation in the areas of:

- **Health and Safety Performance.** The process for collecting the data needed to provide a full understanding of the health and safety performance of the organisation is still being worked on. Work on an online reporting tool is underway that will allow the straightforward capture of the required information. A limited snapshot of Lost Time Injuries, Total Injuries, and Near Hits is provided for Staff, Capital Works Projects, and Rail Operations. Road Corridor Maintenance has rolled out the revised monthly reporting form to its contractors. An analysis of the staff injury statistics for the last 12 months is also provided.
- **Health and Safety Risk Management.** The first of a new series of workshops was run on Monday 19 May. From this workshop, critical risks were reviewed and the enterprise level Health and Safety Risk profile is being updated. Further workshops are to be undertaken in June with a view to distributing a comprehensive 'pick list' of Risks for Divisions to review their respective registers with. The second phase of this program will be to review existing controls and develop further robust controls to reduce the existing risk profile even further.
- **Health and Safety Incidents.** There were four significant incidents that were reported in May. Two involved injuries to staff and two had the potential for serious harm. A report into the 2 March derailment has been received from TransDev but has yet to be finalised.
- **Health and Safety Strategy Work Programme.** There are eight streams of work under the Health and Safety Strategy. Of note is the continuing development of the H&S Management Framework for Auckland Transport. The use of an AS/NZS4581 framework has been dropped in favour of model based of international best practice. A summary of the proposed change and the rationale is attached (Attachment 3) along with a draft Incident Management Standard (Attachment 4). Generally, there has been good progress on the Work Programme although several timelines continue to track behind the original targets but will not have a significant impact on the overall programme
- **Health and Safety Matters Arising from the last Board meeting.** There were no matters arising from the May Board meeting.

Background

This report provides a summary of:

- The health and safety performance across the organisation inclusive of any contract work;
- Health and safety risk across the organisation;
- Any significant health and safety incidents for the month and any recent updates on past incidents;
- The progress against the Health and Safety Strategy Work Programme.

The report also responds to any matters arising from the last Board Meeting.

Health and Safety Performance

The attached graphs (Attachment 1) provide an overview of the health and safety performance of the organisation inclusive of any contracted work. The Staff H&S performance data is further broken down in Attachment 2.

The data used to generate these graphs remains incomplete as we have yet to capture consistent reporting from all of our contractors and service providers. Notwithstanding this, the graphs do provide a useful snapshot of current health and safety performance for our staff, our capital works programme, and the rail operations. Road Corridor Maintenance have implemented the revised reporting form that was attached to last month's Board Report. A further 102746 exposure hours have been captured along with 2,604 proactive (lead) H&S performance indicators and 37 near hits. This data has not yet been included in this month's report pending a review of the data's robustness.

Injury Frequency Rate:

- The organisation wide incident frequency rate for both lost time injuries and all reported injuries remains relatively stable with a slight downward trend in both rates.
- The staff TIFR is continuing to show a steady downward trend. This reflects the overall reduction in the number of injuries over the last 12 months. This trend is offset by a steady increase in the number of contractor incidents reported over the last 12 months giving a less pronounced total Organisation trend.

Total Incidents:

- Based on the information currently available, the number of Lost Time Injuries is averaging around 3 per month peaking at 7 for March. One LTI was reported in May as a result of a physical assault following a motor vehicle requiring 8 days sick leave.
- Total reported injuries for staff are highly variable month to month with no obvious seasonal pattern although the overall trend is down over the 12 months.

PE vs. Non-PE Injury Statistics

- Attachment 2 provides a break-down of the staff H&S performance data into Parking Enforcement and Non-Parking Enforcement. Parking Enforcement dominates the staff injury statistics with 62 of the reported 71 staff injuries over the last 12 months.
- The overall trend in all of the measures is downward.
- The top four injury categories for Parking Enforcement are:
 - Assault (13)
 - Other (16)

- Ankle Sprain / Twisted Ankle (15)
- Slip/Trip/Fall (15)
- The 'Other' category includes singular events such as a minor burn, cuts, crush injuries etc.
- The above analysis has highlighted the need to better record and categorise the incident data so as to be able to identify both cause category and injury category. Clean data will be provided for next month's report.
- The PE Violence Hazard Review is progressing well with the intention of having recommendations ready for later in June. Of note has been the inclusion of a member of the police in the Working Group and the ideas he has brought to the review.
- Potential initiatives to reduce the number of slips, trips, falls, and ankle injuries are being investigated.

Health and Safety Risk Management

The first of a series of health and safety risk management workshops was run on Monday 19 May. The workshop included representatives of Public Transport Operations, Road Corridor Operations, Special Events and Community Transport. The output of this workshop served to further review the process of identifying and assessing risks that the organisation is exposed to. Further workshops are planned with Road Development and Road Access, in the months of June and July that will further develop this list. Once a broad register is developed, participants in the workshops, the Risk Owners, and the Risk Champions will be provided with the register with a view to populating their Divisional Risk Registers with.

The critical risks arising from these workshops will be reported through to the Board in subsequent monthly reports and, eventually, consolidated into an organisation wide risk register.

Health and Safety Incidents

Four significant health and safety incidents occurred in May two involving injuries and two with the potential for serious harm:

- Two staff were injured with one requiring time off work. An AT staff member, driving an AT vehicle, stopped at a pedestrian crossing and a truck and trailer hit the AT vehicle from the rear. The truck driver then assaulted the staff member by head butting him. The combination of the assault and an injury sustained in the collision resulted in medical treatment and eight days lost time.
- There was a significant incident on the Devonport Marine Parade Project when a 600mm pile fell in an uncontrolled manner onto the work area. Work was ceased until a thorough investigation was undertaken. Root Cause and Contributing factors were identified and the piling methodology was amended to remove the risk. Control of a pile is now required at all times until fully driven to depth.
- A consultant to AT undertaking valuations of our Platforms was observed in the rail corridor without appropriate PPE or a permit to enter. This was reported by one of maintenance contractors. The incident is under investigation and will be reported to the Board in future health and safety reports

Update on Previous Incidents

A report into the 2 March derailment has been received from TransDev. It is currently being finalised with individuals involved, the rail regulator, and the union. The finding of the report will be summarised in next month's report.

Health and Safety Strategy Work Programme

There are eight work streams within the Health and Safety Work Programme:

1. Leadership. A Board / ELT workshop was held on Tuesday 13 May. This covered the proposed legislative changes and what good health and safety governance looks like. Due to time constraints, the workshop to establish targets and KPI for health and safety governance has been postponed to the Customer Focus Committee meeting on Thursday 19 June.
2. Engagement. The H&S Team are continuing to engage on H&S matters throughout the organisation. Key areas of engagement include; several tenders where support has been sought with the evaluation of the H&S submissions, comments have been provided on CRL documents, guidance on H&S for the launch of the bicycle fleet, and audits have been undertaken on the operators of the Total Mobility Scheme. I attended a NZTA's H&S Business Transformation Group as an observer and presented on AT's H&S Strategy.
3. Wellness. The "Mother's Day Magic" initiative has concluded. There were 181 participants. The challenge was aimed at encouraging participants to make healthier lifestyle choices and was well received by those that partook. The development of a dedicated intranet 'landing page' for Staff Wellness will be launched in June.
4. Monitoring and Reporting. In order to meet the 1 July deadline we set, a two stage process is being established that will allow the implementation of a reporting tool within the required timeframe while allowing the development of a fully functional H&S data system within the calendar year. This is also the approach NZTA are taking and represents a pragmatic way of getting H&S performance from across the organisation in a relatively short timeframe. We are also looking to collaborate with NZTA in the development of their tool to provide a link from their website or mobile application to AT's website.
5. Compliance Systems. A decision on the preferred consultant to support the development of a H&S Management Framework has been made and their engagement will be finalised in the second week of June. In the meantime, the approach proposed for the Management Framework has been reconsidered and we will not be following the AS/NZS4581 framework originally set out in the work programme. An explanation of this decision is set out in Attachment 3.

A draft Incident Management Standard is provided in Attachment 4. This standard has been developed in line with the proposed changes to the approach to the Management Framework. The detailed Business Processes that underpins this standard have not been fully developed but are highlighted in red text.

6. Risk Management. The first of this series of risk workshops was held on Monday 19 May.
7. Learning and Development. Met with Chris Olsen (Roading NZ and Construction Safety Council) and discussed their development of a competency framework for the industry. This system offers a significant opportunity to move to international best practice. This work stream is currently on hold pending getting the compliance System work underway.
8. Continuous Improvements. This work stream will come into effect once the management system development gets underway.

Overall, progress on the work programme remains good although there have been some delays.




Matters Arising

There were no H&S matters arising from the May Board meeting.

Attachments

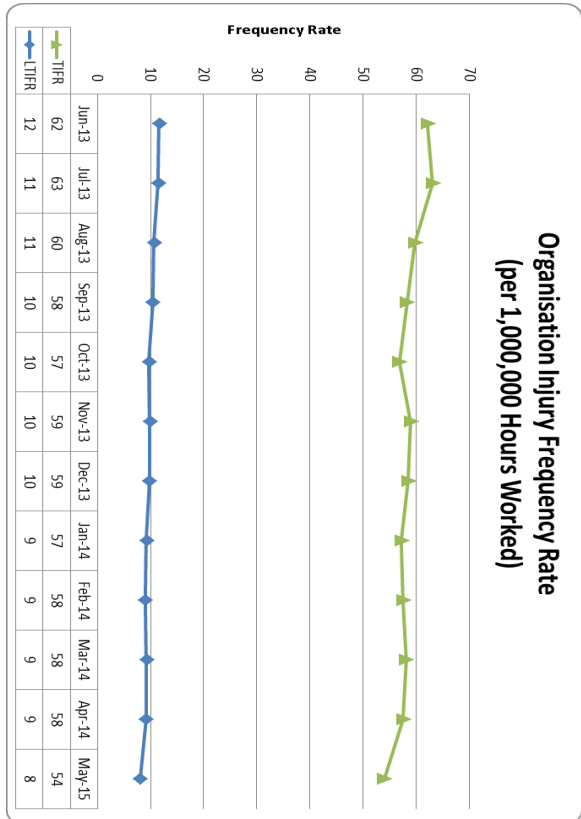
Number	Description
1	Health and Safety Performance Graphs
2	Staff Injury Statistics
3	Health and Safety Management System Approach
4	Draft Incident Management Standard
5	Health and Safety Strategy 2014

Document ownership

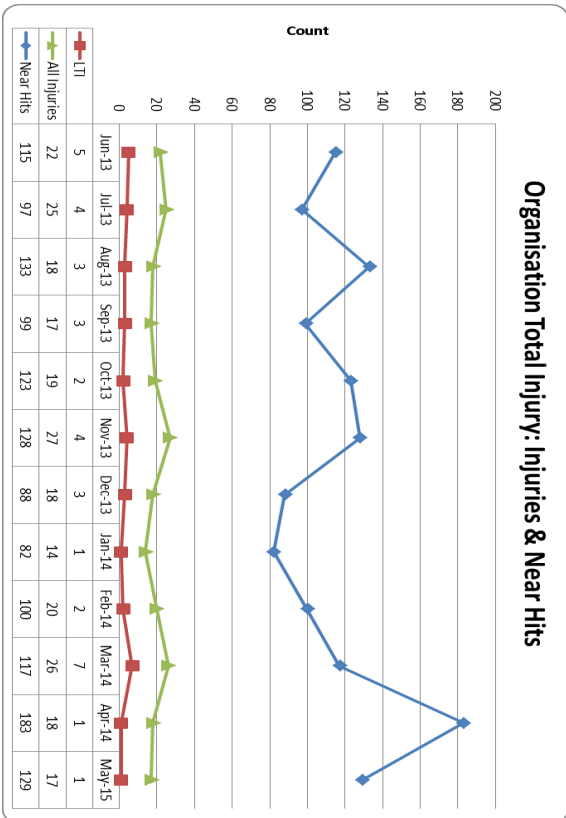
Submitted by	Chayne Zinsli Health and Safety Manager	
Recommended by	Simon Harvey General Manager People, Service, and Performance	
Approved for submission	David Warburton Chief Executive	

Health and Safety Performance Graphs

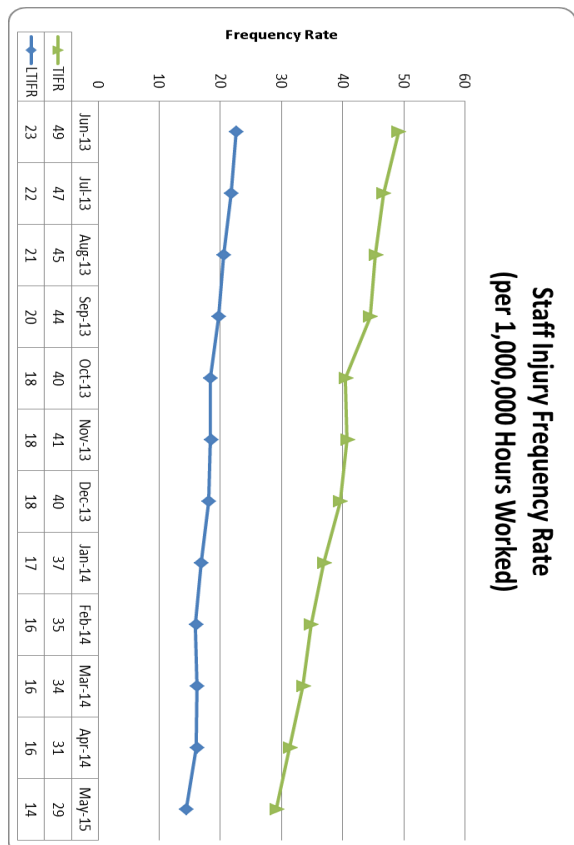
**Organisation Injury Frequency Rate
(per 1,000,000 Hours Worked)**



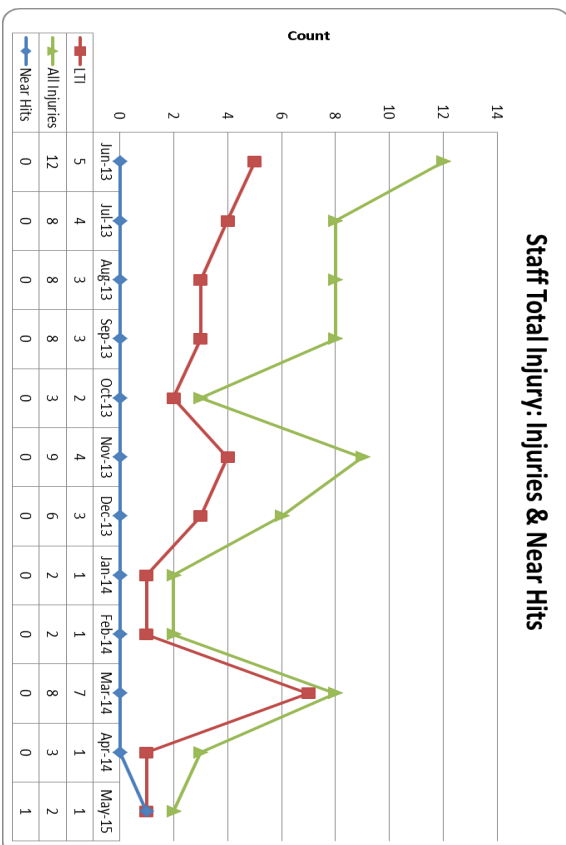
Organisation Total Injury: Injuries & Near Hits



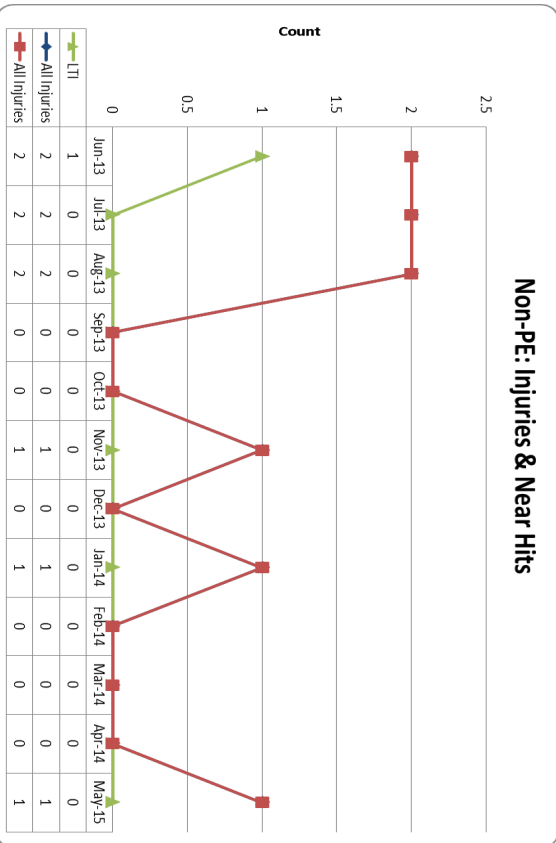
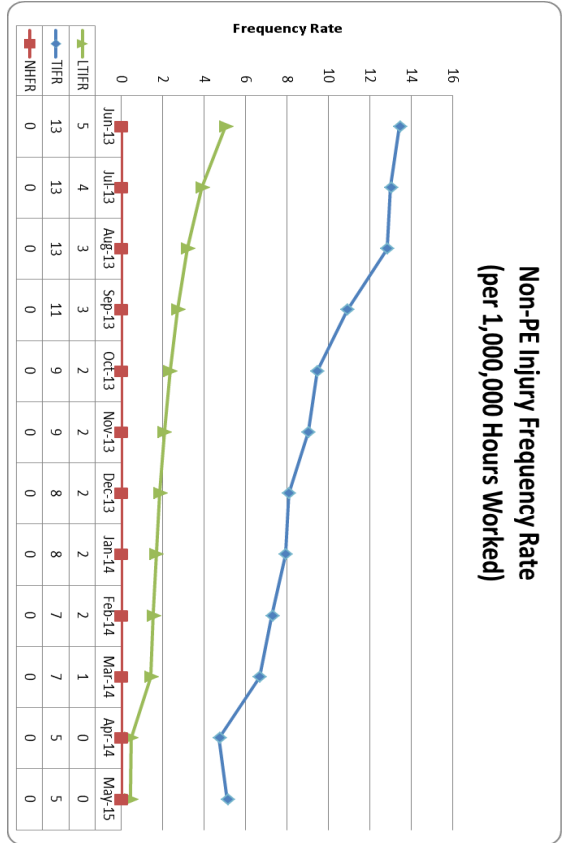
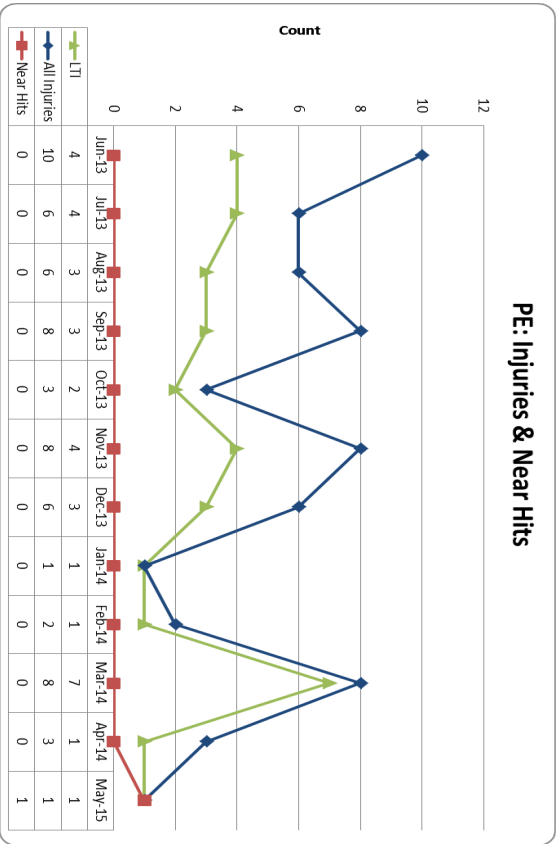
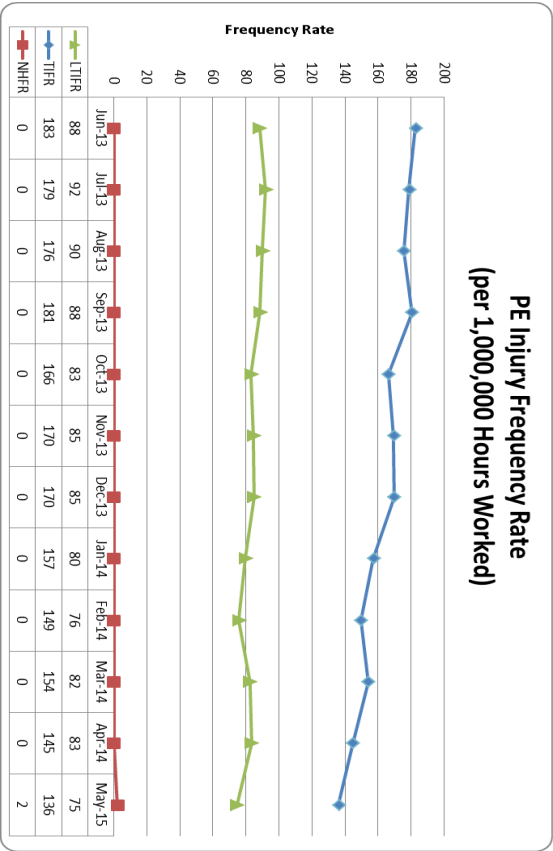
**Staff Injury Frequency Rate
(per 1,000,000 Hours Worked)**

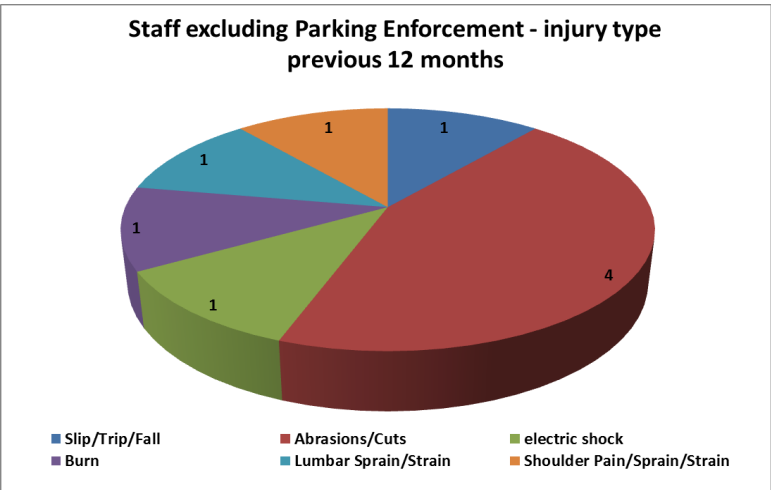
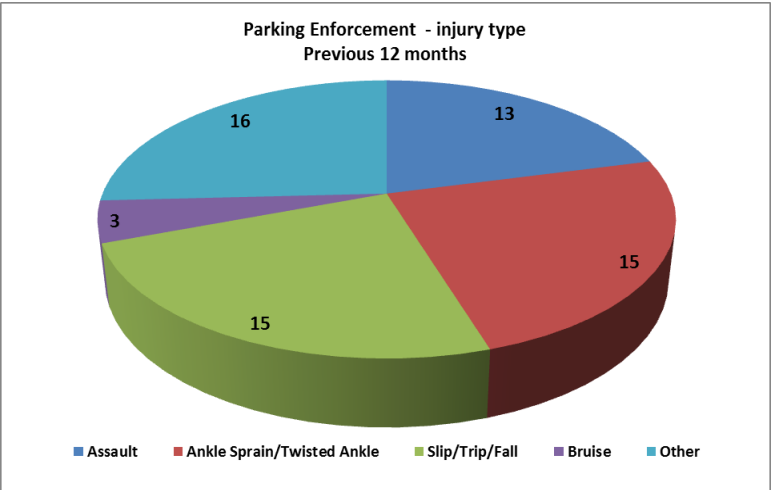
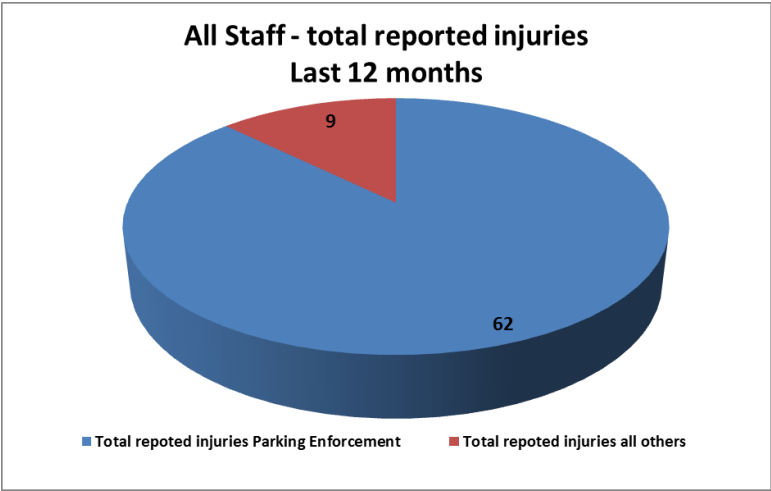


Staff Total Injury: Injuries & Near Hits



Staff Injury Statistics





Health and Safety Management System

The Health and Safety Strategy paper submitted to the Board for the 25 February meeting stated, with reference to Object 6; Organisation, that *“the work programme for this objective will focus on developing a best practice Health and Safety Management System under AS/NZS 4581 framework”*.

However, in coming to understand what is best practice and what is best for Auckland Transport, we have decided to move from the Australian/New Zealand Standard framework to an international best practice model. The following sets out the reasons for this decision:

1. New Zealand underwent a national review of its health and safety via an independent taskforce. One of the main findings of the Taskforce was problems with our regulatory framework and its implementation. Historically, businesses in NZ follow standard models such as AS/NZ 4801 which have proven to not deliver the safety outcomes sought.
2. The proposed changes to our health and safety legislation are more in line with international best practice H&S frameworks and systems such as ISO 18001 series. They include a more holistic approach to managing environmental and health and safety risks.
3. There is a significant focus on designing out risk in line with the UK Construction Design Management regulations and the UK Health, Safety and Environment Act 1992. This will place more emphasis on ensuring the framework and systems are designed to focus on planning work prior to it being undertaken and, therefore, the processes to design out risk.
4. The current safety models such as AS/NZS4801 or the ACC WSMP focus more on the system than the governance and the requirements to support the system. With the proposed legislative focus on greater responsibility by principals and directors, there is a need to change the management system approach.
5. We will still have to have a management system in place but the focus will be on the governance structure and how we set up the overarching framework to deliver the health and safety outcomes.

The international models for H&S establish an overarching framework consisting of governance guidelines, high level targets and agreed standards that apply across an organisation. These frameworks allow for individuality within the divisions of an organisation to design and implement their own safety processes.

The system that will be developed for Auckland Transport (AT) will follow an international best practice approach that will seek to not only ensure AT is compliant with its legislative requirements but allow us to optimize the business processes for the needs of the different activities we undertake while ensuring the standards set by the Board are achieved.

The system will allow the Divisions and/or Units to have some ownership over their H&S processes while working to common goals in a supportive way rather than having a process prescribed. The focus will not be on what the process is but what the common standards and targets the Organisation sets.

Summary

1. The approach will be much simpler and focus is on working towards common goals under a high level framework, as opposed to complying with a ridged “quality system”, in line with the proposed changes in the health and safety legislation.
2. The focus will be more on the framework (governance, structure and way the system is implemented), rather than the system per se.
3. The focus will be on achieving safety outcomes rather than the managing a system.

Draft Incident Management Standard

Context

The purpose of this business standard is to ensure that all Health and Safety incidents associated with Auckland Transport operations are identified, reported, and thoroughly investigated and that the appropriate corrective action, aimed at preventing recurrence of the incident, is undertaken while ensuring all statutory and regulatory reporting requirements are met in a timely manner.

Application

This business standard applies to all of Auckland Transport and its operations. Where Auckland Transport is involved in an alliance or joint venture this standard is to be maintained as a minimum requirement.

Minimum Requirements

The minimum requirements are:

- Incident Identification, Investigation & Reporting
 - Business processes shall be established and maintained for the identification, reporting, and investigating all Health and Safety incidents.
 - Business processes shall be established and maintained for ensuring full compliance with the applicable legislative requirements related to incidents, including reporting to authorities, securing of the site, keeping of records, investigation and other actions as required.

Identification

- Significant incidents and their details shall be promptly reported to senior management including General Counsel in accordance with detail level **Business Process: Health and Safety Incident Reporting & Recording**.
 - o The following table sets out the minimum reporting requirements:

Incident Severity Class	Incident Classification	Notification Requirement
Class 3	Fatality / Death	Immediately upon identification
	Serious Harm or Modifiable Incident	Immediately upon identification
	Potential Serious Near Hit / Miss	As soon as practicable
Class 2	Lost Time Injury	As soon as practicable
	Medical Treatment/Assessment	Immediately upon identification and prior to attendance at medical practitioner, where practicable
Class 1	First Aid Injury	Within 48 hours

- In the event of a Class 3 incident, work will be suspended and shall not resume until an appropriate assessment of risk is undertaken and authorisation is given by the appropriate Executive, General or Senior Manager (outside the project) in consultation with the Health and Safety Manager.
- All Health and Safety incidents shall be entered into the Auckland Transport Health and Safety reporting system.

Investigation

- All Class 2 and 3 Health and Safety incidents shall be investigated using an appropriate incident causation model approved by the Health and Safety Team.
 - o The model shall include a process for identifying all the essential factors or root causes of the incident.
 - o However, there will be, on occasion, incidents and events that occur where the prescribed level of investigation and reporting will provide little value to the organisation, or that the resource and effort required is not commensurate with the potential benefits. In such circumstances, an 'exemption' may be authorised by the Health and Safety Manager after a review of relevant facts, circumstances and outcomes. This exemption shall take the form of a formal notification and cannot be delegated to another party.
- The investigations shall be carried out by competent persons with the appropriate involvement of relevant personnel and their representatives.
 - o The level of detail of these investigations and who shall form the investigation team shall be appropriate to the Incident Severity Class.
 - o Resources shall be provided to ensure that investigations are conducted to a standard that identifies all the essential factors and that lessons learnt are communicated promptly.

Reporting

- A full written report using an approved template shall be submitted to the Manager Health and Safety within 10 working days of the incident.
- The analysis of incident data including potential incidents shall be undertaken to ensure trends are identified and preventative programs implemented.

- Recommendations, Corrective and Preventive Action

- Business processes shall be established and maintained to ensure the follow up and completion of corrective actions.
- The results of any investigation and any recommendations made in an investigation report shall be communicated to all appropriate persons for corrective action, shall be included in the appropriate management review, and considered for continual improvement activities.
- Corrective and preventative actions shall be developed, implemented and reviewed to address the findings from the investigation.
- Communications such as Safety Alerts or Lessons Learnt shall be communicated across Auckland Transport in accordance with **Business Standard: Health and Safety Communication and Consultation**.
- Safety Alerts/Lessons Learnt must be developed and communicated across Auckland Transport for all Class 3 incidents.

Key Accountabilities

- The Board and Executive Management Team:
 - Review the findings from all investigations into Class 2 and 3 incidents.
 - Review the finding of all audits into the organisation's compliance with legislative, external, and organisational health and safety requirements.
- Health and Safety Team:
 - Ensure that Auckland Transport's Health and Safety Management System documentation includes minimum requirements.
 - Ensure that all information gathered from incident investigations across Auckland Transport is analysed and reported to determine organisational and project effectiveness and develop strategies to improve performance standards, Health and Safety management systems, and practices.
 - Review investigation outcomes to share Safety Alerts / Lessons Learnt across Auckland Transport and with other stakeholders as appropriate.
 - Conduct governance programs to assess compliance with legislative, external and organisational requirements.
- Management:
 - Ensure that incidents are reported and investigated with prioritised corrective or preventative action aimed at preventing recurrence of similar events.
 - Ensure that in the event of a Class 3 incident, systems are in place to notify key internal and external stakeholders within specified timeframes.
 - Ensure that work only recommences when senior management have reviewed actions to reduce the risk of recurrence and have provided the necessary approvals for work to recommence.
 - Ensure that the effectiveness of the implemented control measures are reviewed post implementation.
 - Ensure self-assessments and declarations of compliance are undertaken annually.



Health and Safety Strategy 2014

For the People | Mō te Tāngata



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Foreword

David Warburton



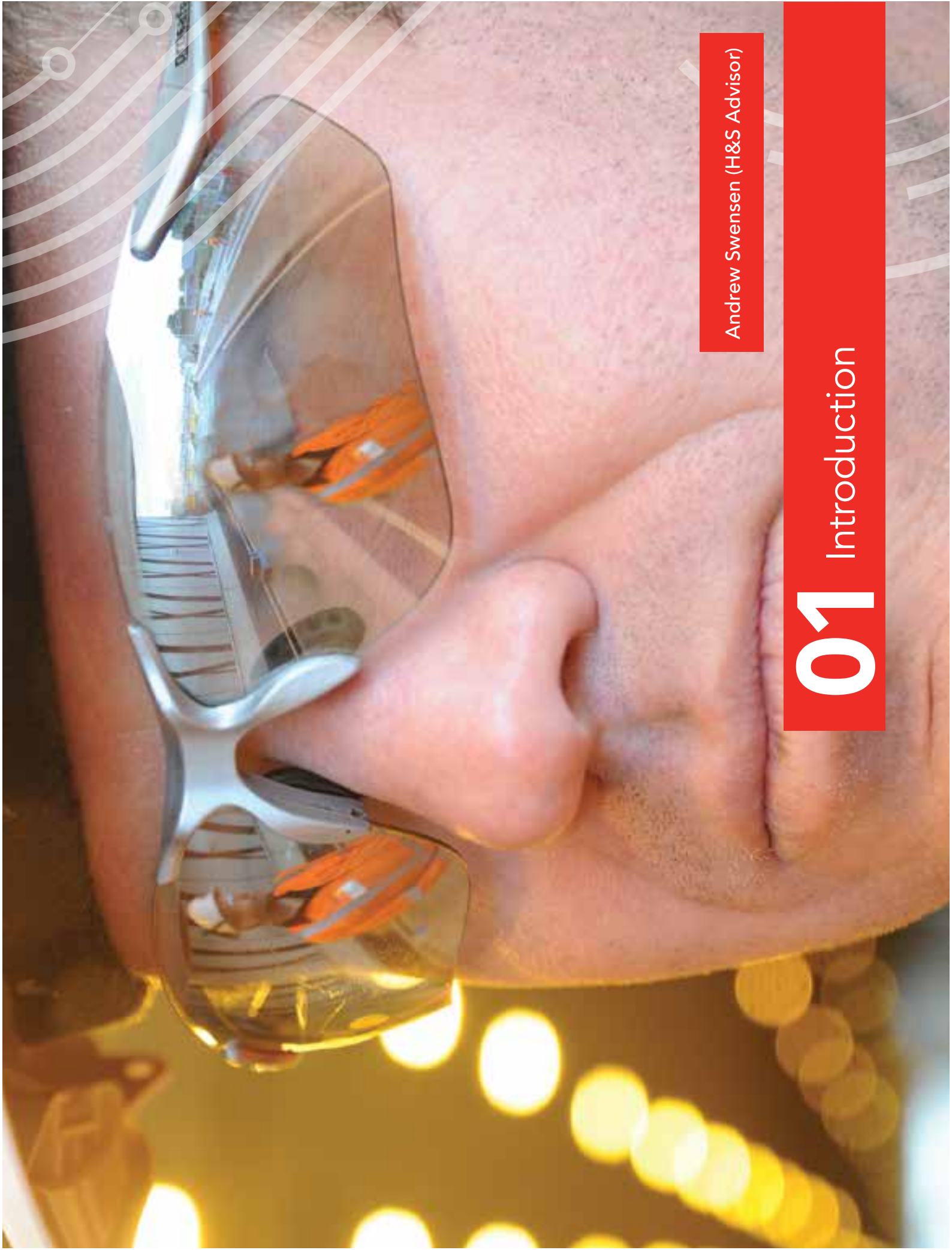
Keeping Safe

Auckland Transport's Health and Safety philosophy is simple; we want you to get home safe, every day, to the ones that matter most.

To do that, we need to take individual and collective accountability for Health and Safety in the workplace.

The corporate Health and Safety Strategy underpins our philosophy and legislative responsibilities. We need to work together with our employees, our contractors and business partners to push the "one team" ethos to new levels. We have come a long way in getting ourselves healthy and our improved health indicators demonstrate this. Now we need to ensure we are all safe.

The strategy set out in the following document establishes the foundation for building an environment that moves us toward creating a Zero Harm culture.



Andrew Swensen (H&S Advisor)

01 Introduction



Auckland Transport's Health and Safety Strategy has been developed to address:

- The areas identified for improvement
- The need for a robust compliance management system
- The aspiration to develop a Zero Harm Culture within the organisation.

Areas for Improvement

A review of Auckland Transport's health and safety policies and procedures, carried out by Internal Audit in June 2013, identified a number of areas where improvements were required.

The following five improvement recommendations were made:

- The standardisation of policies and procedures across the organisation
- The development of comprehensive reporting of health and safety issues, risks, and performance to the Board and senior management
- The development and implementation of an organisation-wide system to capture all health and safety reviews and record and track any corrective actions required
- The implementation of training to raise the level of consistency and knowledge of health and safety.

This Health and Safety Strategy addresses these areas for improvement.

Health and Safety Legislative Review

Following the Pike River coal mine tragedy, the Government established an Independent Taskforce on Workplace Health and Safety. The taskforce undertook an extensive review of workplace health and safety in New Zealand and, at the end of April 2013, presented a report that called for “an urgent, sustainable step-change in harm prevention activity and a dramatic improvement in outcomes”.

Working Safer – a blueprint for health and safety at work was the Government's response to the taskforce's recommendations. It includes a substantial review of the health and safety legislation, consistent guidelines and information for businesses, additional funding to strengthen enforcement and education, with a focus on high-risk areas, and better coordination between government agencies. Proposed legislative changes are based on the Australian Model Law which, in turn, was based on English health and safety legislation. The proposed legislation will clarify duty holders and duties, establish a positive duty on directors, and establish a suite of new compliance and enforcement tools – including stronger penalties.



The Government's intention was to have the new legislation in place before the end of 2014. It is now clear that it is more likely to be in place early in 2015.

This Health and Safety Strategy and the associated work programme will ensure that Auckland Transport has a fully operative health and safety compliance management system in place before the legislation takes effect.

Zero Harm Culture

Auckland Transport's policy is to "build a culture and understanding of excellence in health and safety". Auckland Transport sees a culture based on the principle that all injuries are preventable, as demonstrating excellence in health and safety. The Health and Safety Strategy establishes the framework and the first steps to building the Zero Harm Culture that the organisation aspires to.



Nishant Bahad (Solution Architect) & family



Antonette Faytaren (IT Change & Release Management Analyst) & family

02 Strategy Overview



Vision Statement

Our staff, contractors, and consultants work together to ensure no one is harmed through what we do.

Strategy

Implement a three year programme to establish a sustainable Zero Harm Culture:

- **Year 1:** Compliance Phase - will focus on building a best practice health and safety management system that achieves compliance with legislative and certification requirements
- **Year 2:** Application and Understanding Phase - will focus on the implementation, integration, and improvement of the health and safety management system based on user experience, as well as shaping the cultural elements of health and safety
- **Year 3:** Embedding Phase - will focus on bedding in the health and safety systems and processes and continuing to build the Zero Harm Culture.

Objectives

Auckland Transport's Health and Safety Strategy is based on six key objectives:

1. **Leadership:** Auckland Transport's management is committed to a vision of Zero Harm through active engagement in, and leadership of, health and safety across the organisation.
2. **Engagement:** Staff and contractors are actively engaged in the development and implementation of Auckland Transport's health and safety management system.
3. **Organisation:** Auckland Transport operates as one organisation with one system and one way of undertaking best practice health and safety management.
4. **Risk:** Auckland Transport understands and effectively manages the hazards and risks associated with what we do.
5. **Knowledge:** We all know what we need to do and are empowered to do it.
6. **Improvement:** We are continuously improving what we do through active monitoring and review.

Work Programme

Each objective has an associated work programme that sets out the required tasks to achieve the objective.



Auckland Manukau Eastern Transport Initiative (AMETI) 2014

03 A Zero Harm Culture



Zero Harm is an aspirational target. It represents a vision of a culture where staff and contractors work together to ensure that no one is harmed through any action or inaction.

Building a Sustainable Zero Harm Culture

The following sets out the key elements for a Zero Harm Culture.

Reporting Culture: A reporting culture is based on the willingness of employees to report incidents including near misses and errors. The depth of a reporting culture is directly impacted by a 'just culture'.

Just Culture: A just culture is one in which reporting is actively encouraged with an emphasis on learning from these reports rather than blaming those involved. Employees are aware of the difference between acceptable and non-acceptable behaviour. A clearly communicated set of non-negotiables and a consequence management framework are accepted.

Risk Aware Culture: Risk controls are known and understood at all levels, with this understanding of risk underpinning how we approach our project delivery while encouraging innovation to counter existing or developing risks.

Learning Culture: The learning culture refers to the ability and readiness of the organisation to analyse safety related data, draw conclusions and act upon the recommendations.

Informed Culture: An informed culture refers to the level of awareness, and currency of awareness, by management and operators of the human, equipment, technological, process and environmental factors which could impact operational safety.

Building a definition of a Zero Harm Culture

Harm: The Health and Safety in Employment Act 1992 defines harm as meaning "illness, injury, or both; and includes physical or mental harm caused by work related stress".

Zero: No quantity.

Zero Harm: An absolute freedom from harm.

Safety Culture: The attitudes, beliefs, perceptions and values that employees share in relation to safety.

Zero Harm Culture: *The attitudes, beliefs, perceptions and values that our employees and contractors share in relation to a Zero Harm work environment.*



Leadership: Auckland Transport's management is committed to a vision of zero harm through active engagement in and leadership of health and safety across the organisation.

Engagement: Staff, consultants, and contractors will be actively engaged in the development and implementation of Auckland Transport's Health and Safety Management System.

Organisation: One organisation; one system; one way of doing best practice H&S management.



Knowledge: We all know what we need to do and are empowered to do it.

Risk: Understand and effectively manage the hazards and risk associated with what we do.

Improvement: Continuously improving what we do through active monitoring and review.



Stephen Firth (Maintenance Contracts Coordinator) & Margaret Firth (PT Facilities Operator) & their granddaughter

04 Leadership



The culture of any organisation is largely determined by its leadership. A management team that models the way and is seen to do so is clearly leading by example. This encourages the type of environment that will support the culture Auckland Transport aspires to. Underpinning such a requirement is the need for the wider management team to fully understand its obligations under the relevant legislation and our health and safety management system. (*See Learning and Development.*)

level first so that by the time it is rolled out to the wider organisation the management team already knows about it, is implementing it and can speak from experience.

Due Diligence

Auckland Transport has the leadership commitment at all levels of the organisation to ensure a safe work environment.

Actions

Five Practices of Leadership (Kouzes and Posner)¹

- Modelling the way – set the example through exemplary behaviour
- Inspiring a shared vision – communicate with enthusiasm a vision for the future
- Challenging the process – search for opportunities to bring about change
- Enabling others to act – delegation and teamwork to achieve
- Encouraging the heart – recognise and celebrate success.

To demonstrate leadership, any new health and safety initiative should be implemented at a management

Auckland Transport will undertake the following actions to implement this strategy:

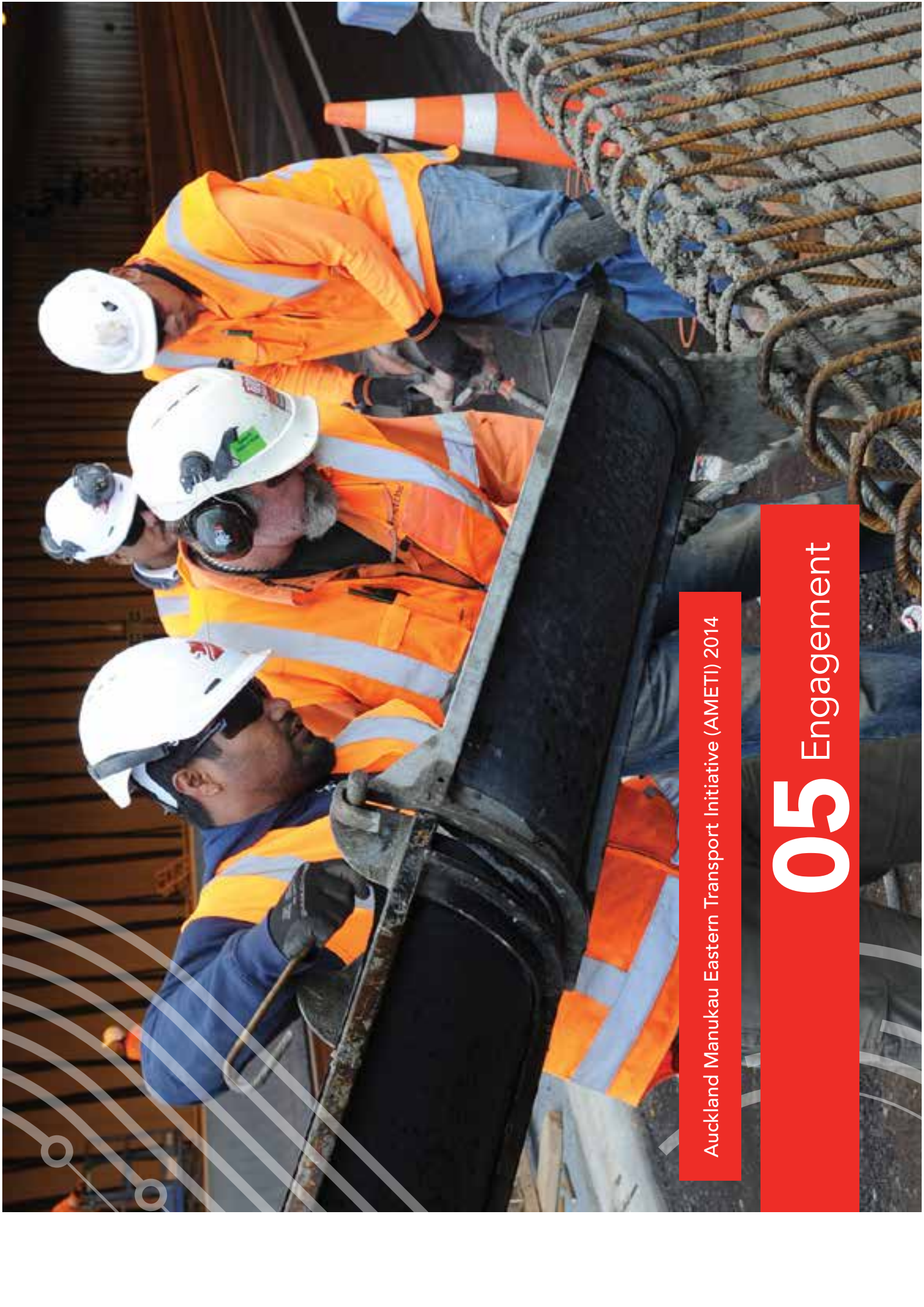
- Develop a health and safety management scorecard and or health and safety KPIs
- Introduce specific health and safety training for all people managers. The training will focus on Auckland Transport and how things need to be done, rather than on legislation. We will reinforce the understanding that “it is part of how we do things here”. Training will cover what staff and contractors need to know and what they need to do

¹The Leadership Challenge, 5th Edition 2012. James Kouzes & Barry Posner. Published by John Wiley and Sons. ISBN 047065125



- Implement serious harm and potentially serious near hit reviews. Ensure the Board and Executive Leadership Team members undertake regular health and safety engagements such as site visits, attending health and safety meetings, incident reviews etc. We will focus on safety engagements rather than audits
- Introduce mandatory one up manager reviews for both operations and capital development areas. We will link these to scorecard or key performance indicators (KPIs)
- Actively promote health and safety with direct reports. (We will make this a mandatory meeting agenda item and include it in KPIs, etc.)
- Include monthly health and safety reports within departmental management meetings. (We will ensure these are meaningful and fully understood)
- Develop Chief Executive Awards that recognise staff and contractors who exemplify the desired behaviours
- Provide regular briefings on changes in the legislation and the implications for Auckland Transport, its directors, management, and staff.





Auckland Manukau Eastern Transport Initiative (AMETI) 2014

05 Engagement



A Zero Harm Culture can only be achieved when there is engagement across all levels within an organisation from the Board through the management and staff structure, as well as contractors and subcontractors.

The proposed changes to the health and safety legislation will bring about changes to the requirements around worker participation in workplace health and safety in that:

- Health and safety representatives must be consulted on health and safety matters
- Health and safety representatives must be given access to health and safety information
- Health and safety representatives must be given sufficient time and resources to perform their role.

There will also be increased protection for employees from adverse, coercive, and misleading conduct.

The legislation also establishes a responsibility cascade that sees Auckland Transport responsible for the health and safety of all workers engaged or caused to be engaged by the organisation. That duty also extends to “other persons including our customers” who are exposed to a place of work.

To ensure that systems, policies and procedures are effective, we need an engaged workforce.

Resources

The organisation has an explicit duty to provide and use appropriate resources to manage health and safety.

Health and Safety Team: The Health and Safety Team totals five full time equivalents. The team has been established on a business as usual basis. There is a considerable amount of work required to take the existing systems and develop a best practice health and safety system. To achieve the development required, extra resources and expertise will be needed. The proposed work programme provides extra resources and front loads the programme to enable the development of the health and safety management system within the first six to eight months of the strategy.

There is a clear need to define the role of the team within the organisation. Roles and responsibilities are set out in the existing Health and Safety Manual but these will need to be updated and the understanding of them needs to be improved.



Health and Safety Review Group: One option for developing a fully integrated Health and Safety Management System is to establish a group specifically to take the existing systems and build a bespoke best practice health and safety management system that is integrated into the business and is readily accessible to our staff, contractors and suppliers. This group would be made up of staff, contractors and suppliers, to ensure a broad representation of those who will engage with and be affected by the health and safety management system. The staff and contractor representation would be there to ensure knowledge of current issues, integration, and user acceptance while consultants would provide the expertise and resource to build the system. Backfilling of staff roles may be required to ensure the required staff can fully engage in the process.

Health and Safety Committees and Representatives: These provide an opportunity to show commitment to staff and capture and address employee health and safety issues. There needs to be clear terms of reference and a commitment of engagement and support by management. Health and safety committees must have Executive Leadership Team and Senior Leadership Team membership.

Communications: Communication is a key element in the effectiveness of achieving behavioural change and the development of a safety culture. Communication is a two way process in which there is both feedback to issues raised (e.g. incident reports and hazard identification) and the free exchange of information between management and staff and between the organisation and its contractors. The organisation needs to establish effective communication channels for management, staff, and contractors which allow effective interaction across the organisation and its contract workforce.

Communication channels may include:

- Regular seminars / briefings / safety alerts
- Reports
- Forums for raising and discussing topics and issues, including online forums
- Mechanisms for prompt feedback on health and safety issues and hazards raised
- Presentations.

Auckland Transport's Communications Team will be a key partner in developing an effective communications strategy.



Due Diligence

Auckland Transport has the appropriate resources to manage health and safety risks and hazards effectively across the organisation and its activities.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Establish the health and safety review group:
 - Identify and engage appropriate health and safety consultant(s)
 - Identify and second appropriate staff
 - Identify and request appropriate contractors and suppliers
 - Develop terms of reference, roles and responsibilities, and timings documents
- Develop a health and safety communications plan:
 - Include monthly reports for the Board, Executive Leadership Team, Senior Leadership Team, staff and contractors
 - Develop a health and safety alert format
 - Establish a key contractor representative form to promote the open exchange of information, shared learning and issues identification, and undertake joint health and safety initiatives
 - Hold quarterly health and safety seminars for all contractors
 - Review the staff health and safety committee structure and the role, training and establishment of health and safety representatives. We will look at empowering the committees through the delegation process.
 - Develop and implement an annual health and safety survey aimed at measuring the health and safety culture of the organisation.

Auckland Manukau Eastern Transport Initiative (AMETI) 2014





Wellness

Our employees are our most valuable assets and, by actively supporting their physical and mental wellbeing, we are helping the organisation's overall performance through increased levels of engagement and reduced absenteeism. A strong wellness programme helps build a beneficial health and safety culture by showing a commitment to the wellbeing of employees beyond legal compliance requirements. However, it should also be noted that there is a legislative requirement to ensure that the workplace is not contributing to health issues.

Auckland Transport will maintain a structured programme that supports and monitors employee wellness through a combination of initiatives that encourage balanced and healthy lifestyles.

An annual programme will be developed that includes:

- A health check – general health, eyesight, vaccinations etc.
- Wellness initiatives – sports teams, events, seminars etc.
- Support programmes – Employee Assistance Programme, workplace assessments, stress management seminars, etc.
- Educational seminars – exercise, diet, quit smoking, sun smart etc.

All people managers need to actively support and promote the wellness programme and any specific wellness initiatives. Such support needs to extend beyond simply passing communications on to their direct reports. All employees will be encouraged to actively participate in the wellness programme and any specific initiatives.

The current levels of staff participation in the wellness programme vary depending on the individual initiative but, if we consider the health check as the core indicator, the current level of engagement is approximately 45 to 50%. The aim should be to achieve an 80% or greater level of participation. Achieving this will take time.

The following definitions are applicable.

Wellness: The quality or state of being healthy in body and mind, especially as the result of deliberate effort.

Workplace Wellness: A combination of educational, organisational and environmental activities designed to support behaviour conducive to the health of employees in a business. It consists of health education, screening and interventions designed to change behaviour in order to achieve better health and reduce the associated risks.



Due Diligence

Auckland Transport has a wellness programme in place that enables the organisation to ensure the work and the workplace are not adversely affecting the health of its employees.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Develop a fully costed annual wellness programme
- Identify health issues suitable for seminars with expert presenters
- Develop a wellness forum and resource on the intranet which links to other resources.



Auckland Manukau Eastern Transport Initiative (AMETI) 2014



Keri Davis-Miller (Senior Planner) & family

06 Organisation



Monitoring and Reporting

“Measurement is the first step that leads to control and eventually to improvement. If you can’t measure something, you can’t understand it. If you can’t understand it, you can’t control it. If you can’t control it, you can’t improve it.” - H. James Harrington.

An effective monitoring regime should be risk based and provide both operational and management assurance. The monitoring and reporting regime should drive the desired behaviours. A possible regime would consist of operational monitoring, systems monitoring, and incident monitoring.

Operational Monitoring

- **Level 1** – Contractor self-monitoring. Monthly reports summarising key issues and incidents etc.
- **Level 2** – Contract monitoring by contract manager. Full inspection report filed against a contract or contractor and entered into the health and safety management database
- **Level 3** – Independent monitoring / benchmark monitoring. This is risk based sampling of activities where individual reports are provided to the contractor, contract manager and the health and safety team. Monthly summary reports are provided to the health and safety team.
- **Level 4** – Periodic system review by the risk and audit team.

Systems Monitoring

This is applicable to long term contracts and health and safety prequalified suppliers. These are system audits that ensure stated systems are in place, are being followed, and are effective.

Incident Monitoring

This covers the monitoring of harm and non-harm incidents as well as near misses/hits and identifying and communicating learnings and potential trend analysis.

Reporting Metrics

Injury Frequency Rates: Typically per million man hours worked. (Per 100 workers is also used in some jurisdictions.)

- Total recordable injury frequency rate (TRIFR)
- Significant injury frequency rate (SIFR)
- Lost time injury frequency rate (LTIFR)
- Severity rate
- Lost days, restricted activity and job transfer rates.

Absolute measures – Lag (post-incident):

- Lost time injuries
- Medical treatment injuries
- First aid cases



- Near hit, near miss, hazard reports, non-injury incidents
- Total lost days (full day equivalents).

Absolute measures – Lead (Pre-incident):

- Formal risk assessments completed
- Active review of hazard register (currency and efficacy)
- Formal safety assessments / audits completed
- Active participation in health and safety discussions and toolbox meetings
- Number of toolbox meetings completed
- Employee health and safety inductions and refreshers completed
- Number of near miss, near hit, hazard reports and unsafe act reports lodged and investigated
- Active health and safety training completed to the level of competence required to deliver Auckland Transport health and safety system requirements.

The above can be managed through a scorecard approach (out of 10 per month per report with an aggregate score across the organisation) or an absolute count (e.g. 20 near hits against a target of 50 per month).

Targets

Any target needs to drive the right behaviours. Targets must drive incremental change toward Zero Harm and be both short term (current year) and long term (five years plus). The baseline should be last year’s performance plus a reasonable stretch target to drive continuous improvement. Targets need to be underpinned by SMART individual and contractual KPIs.

Reporting Systems

There is currently no integrated health and safety reporting system across the organisation. Auckland Transport is using a mix of Excel spread sheets, a proprietary health and safety system and other databases and systems to collect health and safety information. It is not possible to produce one integrated report on all health and safety related events.

The proprietary system is a legacy system. As implemented, it has limitations both in terms of its use and our ability to amend core data and while we could invest in the system to overcome those limitations, as other organisations have discovered, this is potentially an expensive, lengthy, and not necessarily satisfactory route.



Discussions with IT indicate a preference to utilise SAP if possible rather than invest in a separate information system. This would deliver the benefit of integrating the health and safety reporting tool with the human resources and vendor systems within SAP. Business Objects could then be utilised to provide effective reporting. SAP's health and safety capabilities, as well as costs and timeframes, would need to be thoroughly investigated before going down this route. Whatever the solution, it must be accessible to all staff and contractors including those who do not have ready access to a computer.

Due Diligence

The reporting system must be able to provide robust verification that the health and safety measures being implemented are effective and will enable problems to be identified and remedied.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Identify and implement an effective health and safety information management system including effective data capture systems

- Establish a suite of metrics with appropriate targets
- Review current reporting requirements, policies, and procedures to ensure they are appropriate and effective
- Develop standard Board, Executive Leadership Team and Senior Leadership Team health and safety reports
- Develop a standard monthly health and safety report for all staff and contractors
- Develop a standard health and safety alert format and process
- Introduce a regular wellness newsletter for all staff
- Develop an incident management framework incorporating incident categories, investigation templates, review requirements and trend analysis.

Compliance Systems

Auckland Transport's health and safety management system is based on ACC's Workplace Safety Management System requirements and the Australia/New Zealand standards AS/NZS 4801 and 4804. While the templates are electronic and the completed forms can be sent by email, in reality, it is a paper based system that relies on filling out forms. While it works at a superficial level and meets the basic requirements of a health and safety management system, the system appears to fall short of how it is supposed to operate across the organisation.



Further to the above, the legislation is going to change and will be based on the Australian Model Law.

The proposed timeline for the new legislation should have seen the new Act and the key regulations in place before December 2014. The current proposed timeline will see the legislation in place early in 2015.

Key areas of change include:

- New definitions (person conducting a business or undertaking, officer, worker, reasonably practicable, due diligence, etc.)
- Clarification of duty holder and duties including a positive duty on directors. The proposed legislation establishes an explicit duty of care on an officer to ensure the person conducting a business or undertaking complies with all duties and obligations. Also of note is the duty of care to other persons
- New compliance tools, court powers, and stronger penalties.

The combination of the proposed changes in the health and safety legislation and creation of Worksafe New Zealand provides an ideal opportunity to review and revamp Auckland Transport's existing health and safety policies, procedures, and systems. Currently Auckland Transport has

a mismatch of health and safety systems and information across the organisation with clear differences in information and initiatives at a corporate and divisional level. With the new legislation on the horizon it is timely that we undertake a review, identify best practice, identify the gaps, and implement any changes required.

Whatever Auckland Transport does, it must operate as one organisation with one system and one way of doing things.

Key areas for consideration:

- What is best practice?
- How does ACC's programme fit with the new legislation?
- How do AS/NZS 4801:2001 and 4804:2001 fit in the compliance mix?
- How do we ensure that anything we develop is relevant and accessible?
- How do we ensure it is integrated with all parts of the business?
- How do we ensure it represents industry best practice?



Due Diligence

The compliance system must ensure legal and certification standard compliance across the organisation. The system must be fully integrated with all aspects of the business and be readily accessible.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Establish a review committee and engage support
- Review existing health and safety documentation and systems and undertake:
 - A compliance gap analysis
 - A user assessment for staff and contractors
- Identify organisations with best practice health and safety and review their health and safety management systems
- Build continuous improvement into our systems
- Identify quick wins
- Develop a health and safety incident response plan incorporating reporting, management, investigation, learnings capture and close-out. We will consider including evacuation procedures into the response plan
- Develop a health and safety responsibility and accountability matrix for all roles

- Develop and implement an effective near hit reporting and analysis system
- Review the health and safety provisions of all standard Auckland Transport contracts
- Develop crisis management plans for pandemics, Civil Defence incidents and major injury events
- Review the pre-qualification system. We will expand this across the organisation for all at risk contracts.



Sarah Joyce (Training Administrator)



Auckland Manukau Eastern Transport Initiative (AMETI) 2014

07 Risk Management



Risk has been defined in a number of ways, but it is often seen as the likelihood that an individual will experience the effect of danger (Short Jr, 1984). Wherever it is discussed, there seems to be a consensus that risk is the probability of an adverse event and the magnitude of its consequences.

Risk management is the identification, quantification and the robust evaluation of an organisation's risks and the controls (treatment) adopted to bring those risks to an acceptable level.

A standard risk management process includes the following steps.

- Identify and list all known hazards and/or risks
- Assess the levels of risk (likelihood and consequences)
- Identify appropriate controls and determine the residual risk
- Implement control measures (risk treatment)
- Review regularly.

The hazard and risk analysis process should be undertaken using an expert team approach where possible. The team should have knowledge and experience which is relevant to the situation, task, and workplace. The results of that assessment will be recorded in a risk register.

Hazard and Risk Identification

There are a number of ways to identify hazards and risks including:

- Organisational and industry knowledge and experience
- Consultation with employees and contractors to take advantage of their experience
- Consultation with customers and interested or affected parties
- Documents provided by customers
- Workplace inspection
- Results of technical investigations
- Material safety data sheets
- Task analysis
- Legislative requirements and standards or codes of practice
- Results of accident investigations
- Manufacturers' plant and equipment maintenance data.

Hazard and Risk Assessment

Estimating the consequences of an incident and its likelihood is usually done on a risk matrix, such as the one provided in Auckland Transport's Risk Management Framework.



In order to make such an estimate, a range of factors should be considered, including but not limited to:

- Past records
- Relevant experience
- Industry practice and experience
- Economic or engineering models
- Specialist judgements
- The systems of work associated with the task
- The layout and conditions of the workplace
- The capability, skill, and experience of the person conducting the task
- Any reasonable foreseeable abnormal operating conditions
- Historical incident and near hit reports

- The adequacy of risk control measures currently in place
- The number of persons exposed to the hazard
- How often they are exposed and for how long.

Hazard and Risk Mitigation and Control

The goal of hazard and risk control is always to eliminate the hazard or risk as indicated in the table below. Where a hazard or risk cannot be eliminated, controls that reduce the risk to “as low as reasonably practicable” should be considered. The priority for determining appropriate risk controls will be as per the following hierarchy.

Hierarchy of Control and Risk Treatment Options

Health and Safety Hierarchy of Control	Risk Treatment Options	Examples
Eliminate	Elimination	Removing the need for a specific activity or task to be undertaken
Minimise	Substitution	Substituting a material for a less hazardous one
	Engineering	Residual current devices, design of equipment
	Isolation	Guarding, Barriers
	Administration	Written procedures, safety signage
	Personal Protective Equipment	Safety footwear, protective eyewear, hearing protection



Note:

There should not be a dependence on administrative controls or personal protective equipment alone to control risks unless other control measures are not practicable.

Due Diligence

Auckland Transport has a risk management system in place that enables the organisation to identify, quantify, and manage its risks and hazards to ensure those risks and hazards are eliminated, isolated, or minimised.

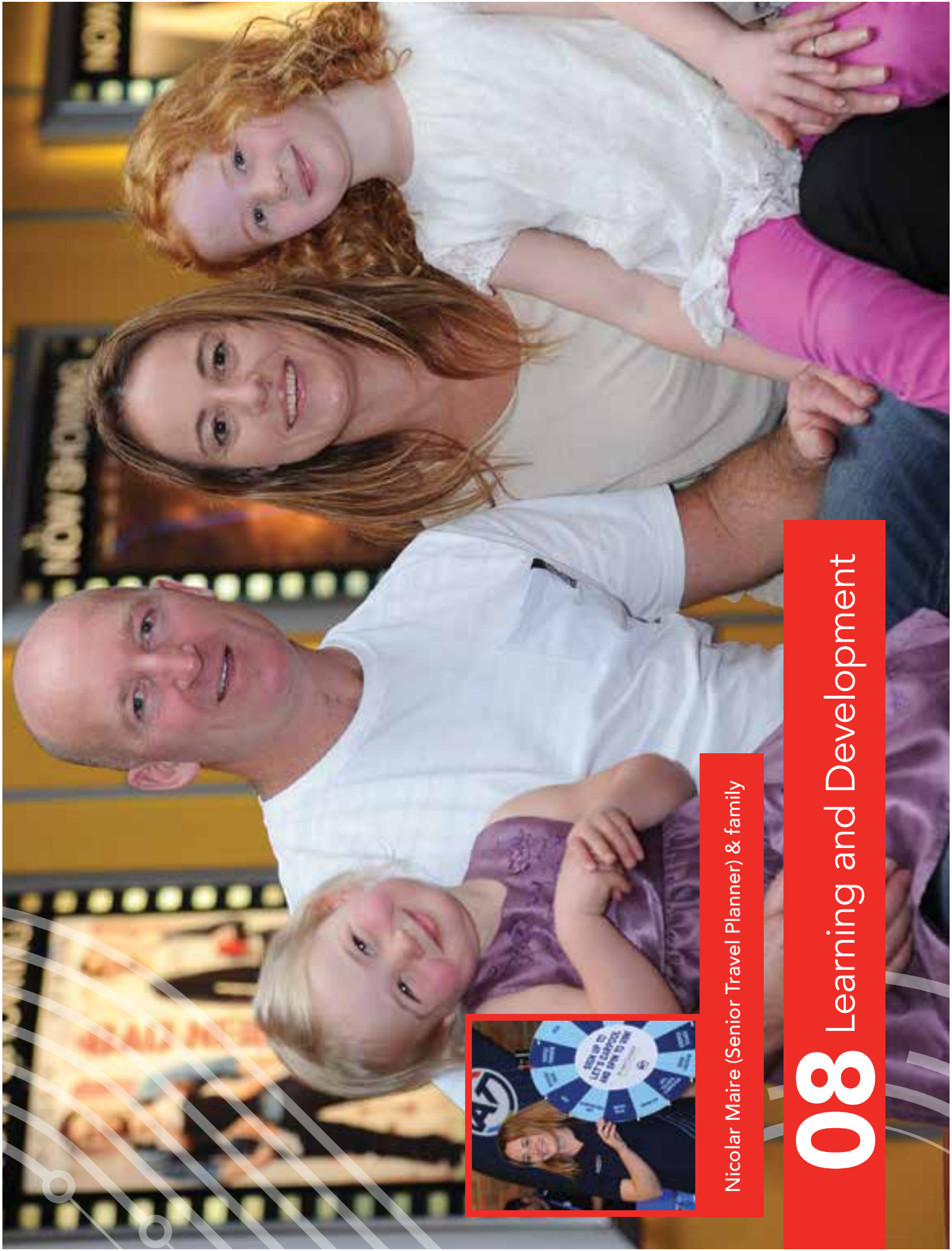
Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Undertake a structured risk and hazard review for each operational area
- Establish a risk and hazard register
- Prioritise risk management efforts on critical risks
- Build risk and hazard review processes into KPI requirements
- Ensure risk and hazard identification training form part of the standard suite of training for all appropriate roles
- Review critical risks monthly in Senior Leadership Team and Executive Leadership Team meetings.



Mary Henderson (Accounts Payable Representative) & family



Nicolar Maire (Senior Travel Planner) & family



08 Learning and Development



The key to the success of a health and safety programme is knowledge and competence. Auckland Transport needs to ensure its staff and contractors have appropriate knowledge of the human, equipment, technological, process and environmental factors which could impact operational safety, and they are competent in managing those factors to ensure safe outcomes.

The level and type of knowledge will be commensurate with individual roles but regardless of the role, everyone needs to be competent in the required knowledge and skills of their role to ensure a safe outcome.

Auckland Transport needs to develop a health and safety training matrix based on roles to ensure all roles are provided with the appropriate training and all staff can show the appropriate competence.

We also need to consider a mix of learning options including formal courses (classroom based or e-learning), coaching, mentoring or on-the-job.

E-learning modules, including induction modules, will form a core training option for staff and some contractors and include:

- Randomised competency evaluation
- Mandatory refresher training to ensure currency of knowledge
- Induction modules will be activity specific (office, field, driving, etc.)

- Role specific targeted health and safety training (general, contract managers, people managers, senior managers)
- A record of learning.

Classroom courses will be used to augment or support e-learning modules or to cover specialist topics beyond the scope of e-learning modules.

Due Diligence

Auckland Transport has a learning and development system in place that enables the organisation to ensure its people have an up to date knowledge of their duties under the health and safety legislation and the policies, procedures, and processes that the organisation has in place to manage health and safety.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Identify minimum health and safety training requirements for all roles
- Identify a suitable e-learning systems provider and develop induction modules
- Develop and implement a learning management system
- Develop a health and safety training matrix for all roles
- Identify appropriate providers for all required health and safety training.



Emma Allen (PA/OD Administrator) & son

09 Continuous Improvement



No system will be perfect as soon as it is implemented or continue to meet the business needs over an extended period of time. There needs to be an effective continuous improvement process included within the health and safety management system. This needs to be informed by both formal and informal feedback.

The formal process could include:

- Audit and system reviews by third party auditors
- Internal review by the Risk and Audit Team
- A formal multidisciplinary review committee made up of managers and health and safety representatives from across Auckland Transport. (This committee could provide an audit function and or review any proposed system changes.)

Due Diligence

Auckland Transport has robust review process that provides a structured review of the health and safety management system to capture improvement opportunities.

Actions

Auckland Transport will undertake the following actions to implement this strategy:

- Build a continuous improvement review process into the health and safety management system
- Establish a review committee.

