

SAFE+

MAKING HEALTH AND SAFETY WORK

A GUIDE FOR THE TRANSPORT SECTOR

Performance Requirements


A JOINT INITIATIVE DEVELOPED BY

WORKSAFE
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**MINISTRY OF BUSINESS,
INNOVATION & EMPLOYMENT**
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Introduction

This document explains the performance requirements and provides examples of the types of evidence required for businesses to meet them. The document has been customised to suit the transport sector. It provides information on the assessment approach for an onsite assessment, as well as the process. The document provides examples of what makes a performing and leading business for each performance requirement.

What is SafePlus?

SafePlus is a new, voluntary, health and safety performance improvement toolkit for businesses.

It defines what good health and safety looks like, above and beyond minimum compliance. SafePlus is a performance improvement toolkit that is different from traditional compliance audit type products. It can be used to assess businesses' health and safety performance and provide them with guidance on what they need to do to improve. The SafePlus Onsite Assessment and Advisory Service also goes further and provides businesses with independently qualified onsite assessments and tailored advice and guidance on how they can implement such recommendations – to help make sure everyone in your workplace gets home healthy and safe.

SafePlus is a joint initiative developed by WorkSafe New Zealand, ACC and the Ministry of Business, Innovation and Employment (MBIE).

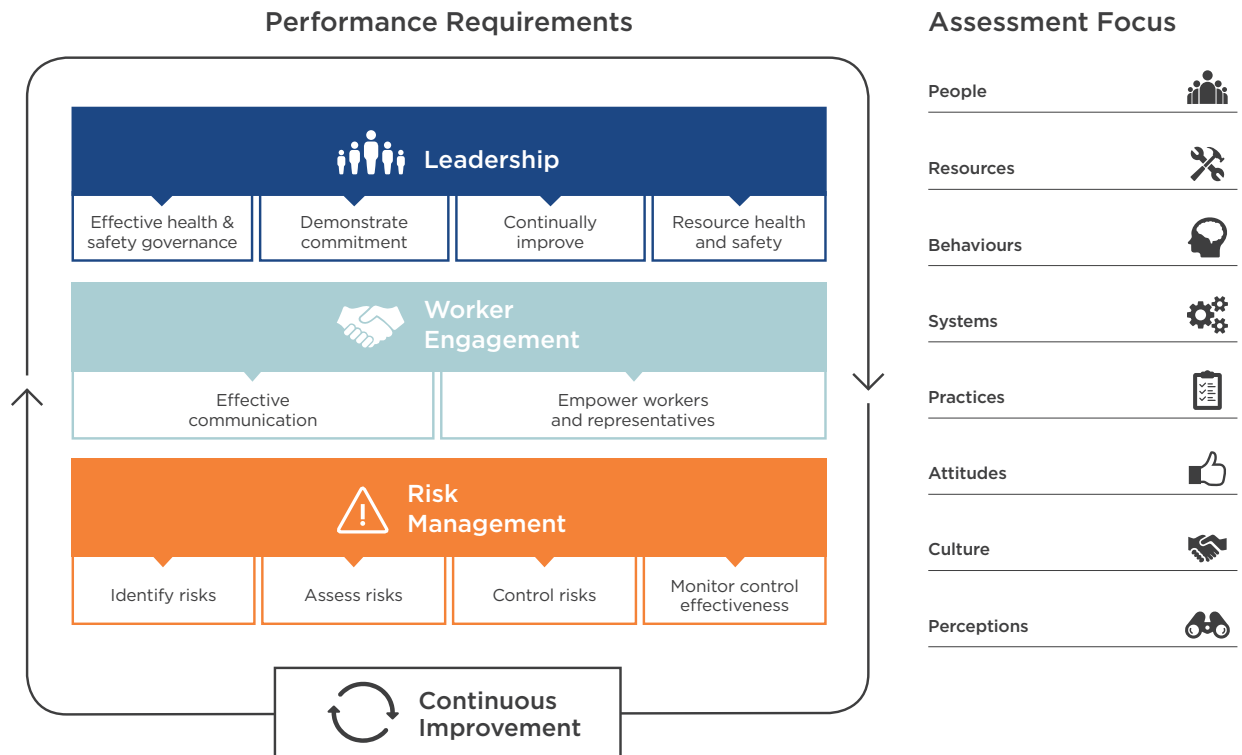
Why has SafePlus been introduced?

New Zealand has an unacceptably high rate of serious workplace injury, illness and fatality. The social and economic cost of people being killed and hurt in New Zealand workplaces is conservatively estimated at \$3.5 billion each year and inflicts an enormous emotional toll on the people affected. SafePlus will contribute to the Government's target of reducing the workplace death and injury toll by 25 percent by 2020.

How does SafePlus work?

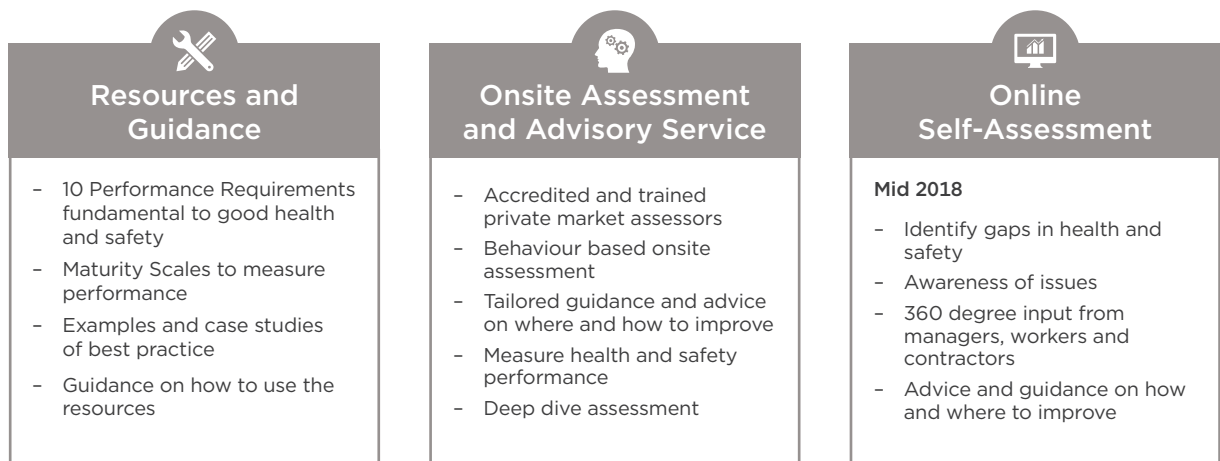
SafePlus is made up of 10 performance requirements that are fundamental to achieving good health and safety performance. These requirements have been developed from internationally-accepted good health and safety practice and tested with industry in New Zealand. They are organised into three core concepts: leadership, worker engagement and risk management – and are underpinned by continuous improvement.

Businesses can be assessed against these good practice health and safety performance requirements and provided with tailored advice and guidance on how they can improve their performance.

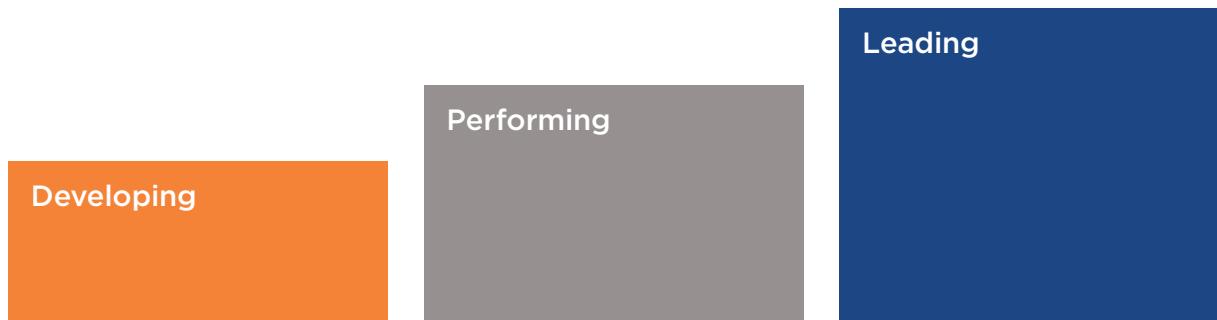


What will SafePlus offer businesses?

SafePlus offers three products. Businesses can choose what work's best for them – or use them all:



Levels of Performance



Three levels of performance are used to determine current health and safety strengths and areas for improvement. Performance is measured against each requirement and the three level maturity scale as described below.

Developing

A business at the Developing stage may be aware of the need to improve their practices and performance to support better health and safety outcomes for workers. Risk management requirements may not yet be fully identified or addressed. Workers may be involved in some health and safety activities. Personal protective equipment (PPE) and administrative controls may be selected as the main form of control for risks. For example, the risk of workers being struck by reversing fork trucks has been identified in a business where there is a need for pedestrians to regularly cross over the work area. However, the business has adopted the practice of requiring all workers wearing Hi-Vis vests while in the warehouse, rather than a higher level of control such as separating pedestrian and fork truck operating areas. Health and safety processes may be largely informal and there may be lower levels of strategic planning to better manage health and safety risks. A developing business may tend to respond reactively to address issues as they occur, such as seeking guidance only after a complaint or incident has occurred. As 'Developing' encompasses such a wide range of health and safety performance from very poor performance, to performing well in some areas and understanding the need to improve in others, this document will not attempt to describe what 'Developing' looks like for every Indicator.

Performing

A business at the Performing stage has proactive and visible leadership and governance. It actively reviews and monitors performance to support continual improvement. It actively seeks information on its health and safety risks and implements and monitors actions to sustainably manage identified health and safety risks, such as subscribing to association newsletters, monitoring incidents and follow-up action, and providing refresher training for staff by external trainers. Workers are involved in all activities and empowered to take action – for example, having worker representatives actively involved in monthly business meetings or proactively engaging staff when considering purchasing new machinery. A performing business integrates health and safety into decision making. For example, a business that is commissioning a new site consults with building designers to ensure vehicular traffic and foot traffic are segregated and turnabout bays are provided to reduce the need for reversing vehicles (safety by design). There is a shared understanding from workers at all levels of the commitment to support good health and safety outcomes.

Leading

A business at the Leading stage will go beyond 'the performing' level. In addition, the business may actively seek opportunities to support the development of innovations that improve health and safety and address current and emerging health and safety risks for all in the sector. The business may take a leadership role in industry to influence and assist others nationally or internationally to lift performance. This could be demonstrated by a business sharing with other companies or through associations, their experience and the results of commissioning a new building where pedestrian and vehicles are segregated, and turnabout bays were built to reduce the need for reversing. Health and safety is integral in core business activities and a sense of corporate social responsibility can be demonstrated. The investment from the business is above (or beyond) job and legislative health and safety requirements. There is a strong sense of ownership and leadership from workers at all levels and the business actively supports workers to lead initiatives.

The Assessment Approach for the Onsite Assessment

The SafePlus Onsite Assessment and Advisory Service uses a diagnostic and evaluative approach to engage with the business to understand the practices, behaviours, attitudes, perceptions, values and 'culture' within it.

The approach identifies and assesses what influences the business's health and safety performance, and measures the performance against the good practice requirements.

The assessment uses information gained from interviewing people throughout the business, practices, observing behaviours and conditions in the workplace, and supplementing this with a review of business processes (where applicable). The intent is to build an accurate picture of 'what is actually happening in practice' and why, as opposed to the theory or what is 'supposed to be happening' according to documents such as training records or written procedures such as SOPs. While some documentation may be reviewed during the assessment the focus is not on a detailed documentation review.

Fundamental to the assessment approach is engagement with people at all levels of the business - including at the CEO, Manager, Supervisor, dispatcher, Operator/driver, and contractor levels.

This enables the assessment to identify similarities and differences from across these perspectives, and to better understand the root causes and influencers of behaviours and performance, rather than just identifying and describing the behaviours and issues found.

This is a qualitative approach. The assessment and recommendations made and improvement advice given, are based on evidence from the interviews, discussions, and observations. While assessors are considering such information sources they are also seeking to explore and factor into their assessments some of the underlying psychological influencers and drivers that are behind the answers to their questions and behaviours, practices, perceptions and conditions they observe.

A key feature of the assessment approach is that it is flexible, and can respond to issues that emerge during the assessment process, rather than following a rigid assessment path. This approach enables assessors to check and test responses made by people throughout the business and evaluate different sources of evidence.

It also allows assessors to dig deeper and ask follow-up questions if necessary rather than being constrained to 'sticking to the script'. Likewise, some issues may be found to have more significance than initially thought and so can be explored further. Several risks are identified with the business to provide context for testing risk management within the business. These are then explored at different levels of the business to give a deeper and richer picture of what is happening.

The assessment provides the business with greater insight and understanding into the health and safety 'culture' in the business, how the business aligns with what 'good health and safety performance' looks like (as described by the SafePlus performance requirements), and what it needs to do to improve its health and safety performance.

The assessment is not a paper-based audit of a business's compliance with health and safety legislation or management or quality assurance requirements. The triangulation of the perceptions and views of people in the business, observed practices, behaviours, and business processes (as legitimate evidence of performance) is quite different from traditional workplace health and safety programmes. The latter often have their main focus on compliance with documented management system policies and procedures, and minimum legal compliance, and an over reliance on what these documents say should be happening.

Onsite Assessment Process

STEP 01

Business requests an onsite assessment

Supporting information will need to be supplied to the assessor.

STEP 02

Review

The assessors review supporting information to start planning the assessment.

STEP 03

Onsite assessment planning

Issues to consider include:

- two safety risks to be assessed
- one work-related health risk to be assessed
- dates and locations
- assessor's details
- activities and operations
- interview schedule

STEP 04

Onsite assessment

The onsite assessment follows a Deep Dive process. It involves a mix of observations of practices, processes, systems and procedures AND an assessment of behaviours, attitudes and perceptions from people interviewed including:

- reviewing equipment or processes
- observing workers conducting tasks/activities related to the three risks
- interviewing workers from different shifts
- reviewing documentation.

Note: Assessors may need to see additional areas/ activities or speak with more workers. These are to be arranged by agreement during the assessment.

Note: The assessors or the business may wish to change the risks assessed on the day due to a change in work schedule or if an additional critical risk has emerged during the assessment. This will be varied in agreement with the business during the assessment.

STEP 05

Debrief meeting

Observations and interviews are used to form an evidence-based view of how well the business performed against the ten requirements. The debrief is an opportunity to provide assessment highlights including areas for improvement and areas of concern. The business can provide further evidence or seek clarification from the assessors.

STEP 06

Draft report to be sent to the business for review

The draft report includes:

- highlights from the onsite assessment
- areas for improvements
- recommendations to support continual improvement
- a draft 'Illustration of performance'.

Note: The business can discuss any concerns within the report findings, including the overall illustration of performance, with the assessors and provide additional evidence if necessary.

STEP 07

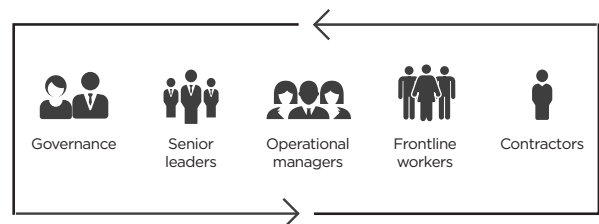
Final report issued

The business' overall illustration of performance is finalised and tailored guidance, advice and recommendations are provided.

STEP 08

Re-assessment

This should occur periodically. Bi-annually is recommended.



Deep Dive

The Deep Dive process traces three key risks through the layers of business, to assess how well health and safety is managed. At least one must be a work-related health risk.

Assessors conduct behavioural observations on site, interview people carrying out business activity and review practices and processes to understand how these risks are managed.

Directors, senior leaders, operational managers, frontline workers, health and safety representatives and contractors will all be interviewed and observed at work to provide an overall view of the business' health and safety performance.



Leadership Performance Requirements

Leaders in a business are in a unique position to have a major influence in health and safety. Leaders set the conditions in their businesses, control the resources and have a large influence on the culture. All these components contribute to determining the level of safety and health in a business. Leadership is also an expectation of the Health and Safety at Work Act 2015 which includes a focus on 'Officer' responsibilities. For these reasons SafePlus assesses the perceptions to how well leaders display health and safety leadership in their business.

Leadership

PERFORMANCE REQUIREMENT 1

The business has effective governance and leadership in health and safety

- 1.1 Officers effectively govern health and safety
- 1.2 Senior leaders/officers set a clear direction/vision for health and safety
- 1.3 Senior leaders understand the key health risks and safety risks in their business
- 1.4 Senior leaders monitor and verify risk control effectiveness
- 1.5 Senior leaders consider potential impacts on health and safety when making business decisions

Assessment

Evidence



- It is evident that senior leaders keep up to date with health and safety matters (eg, through attending training, participating in industry forums, or receiving briefings).
- It is evident that senior leaders receive and respond to information regarding hazards, risks, incidents and verify the use of resources.
- Evidence of commitment and intent may be articulated and displayed.



- Workers are able to explain what the direction/ vision for health and safety is within the business. More importantly, they understand why this is important and how they help to contribute. They can describe how risks are managed and will confirm how health and safety issues are communicated within the organisation.



- Senior leaders are able to outline the key work-related health risks and the key safety risks in their business.
- Senior leaders are able to explain not only the risks in their areas of the business, but across the business as a whole.
- Senior leaders are not only able to explain the risks, but more importantly they can explain the risk control framework.
- Senior leaders can explain how key risk control indicators are identified and set, and how they inform decisions at governance and management levels.
- Senior leaders may be able to explain other activities they undertake to verify the effectiveness of risk controls.
- Where there is a board, the Chair of the board (or other board member) is able to explain how they structure due diligence and how their due diligence conversations inform change.

A Performing Business

If the organisation has a board or directors that are separate to management, the board has defined structures for exercising due diligence and including health and safety in decision making processes. Where there is no separate governance in the business, the CEO and senior leaders understand the difference between governance and management and have mechanisms in place to ensure both are given their attention.

The senior leaders/directors have set a clear strategic intent for health and safety and this is driving the operational goals that are set in Requirement 2. At this level, the senior leaders understand both the work-related health risks and the safety risks in the business (such as work schedules, deadlines or other factors that would cause stress and anxiety) and how these are controlled.

The key risk control indicators have been identified and these are monitored by the senior leaders.

Changes to risk control inform decisions and action. All business decisions will have a health and safety lens applied to ensure that health and safety is not being negatively impacted. For example, the need to bring in contract drivers to ensure shift drivers are not being fatigued due to heavy work commitments and deadlines.

PERFORMANCE REQUIREMENT 1 - CONTINUED

Assessment



Evidence

- There may be a governance charter or Terms of Reference.
- There may be clear risk tolerances set for health and safety in line with the risk appetite for the organisation.
- Evidence of strategic intent is likely displayed around the premises.
- Memos and meeting minutes may highlight decisions that have been made where health and safety was a contributory decision factor.

A Leading Business

Health and safety is fully integrated into the business' management/ governance activities from strategic planning through to regular performance measurement.

The strategic intent of the business includes improving contractor and supplier health and safety performance.

Leaders regularly monitor the effectiveness of their management of the range of health and safety risks that workers are exposed to such as fatigue, impairments, mental health, 'lone worker issues', operator competencies and recognising sources of body stressing.

PERFORMANCE REQUIREMENT 2

Senior leaders visibly demonstrate their commitment to health and to safety through their actions

- 2.1 Senior leaders set and communicate health and safety performance expectations and enable/support others to achieve them
- 2.2 Senior leaders recognise good practice and performance
- 2.3 Senior leaders stated commitments and actions are connected
- 2.4 Senior leaders create an environment of trust and fairness within the business
- 2.5 Senior leaders readily address unsafe actions, practices and situations

Assessment



Evidence

- Senior leaders may be observed in the business directly talking specifically about health and safety such as weekly prestart meetings, staff meetings or having safety conversations, or undertaking safety observations while walking the yard.
- Where senior leaders are observed in the business, they are observed following the site safety and health requirements, and are observed discussing with workers where site safety and health are not being met.
- There may be rewards or recognition information displayed in the cafeteria or staff offices relating to health and safety.



- Some workers are able to explain what senior leaders commitment to health and safety is, and are able to give examples of how and when a senior leader has demonstrated this.
- Workers express a belief that all senior leaders work cohesively on health and safety – and all are working towards the same goals.
- Workers may be able to explain how they are treated within the business in respect of having their voice heard.
- Workers understand the expectations set by senior leaders for health and safety, and are able to explain how and why these are realistic and achievable.
- Workers can explain how they are supported to meet the expectations that have been set, and how their work contributes to the success of the organisation. For example workers are allocated time to work on developing innovative ways to reduce health and safety risks and successful initiatives are rolled out across all sites.
- Workers believe that when performance or practice issues are raised the process is just and fair.

A Performing Business

Senior leaders and managers talk about their health and safety expectations when speaking with workers. Senior leaders share stories that display their personal commitment to health and safety, or openly discuss issues and events that have led to a change in or an improvement to work practices in the yard. Senior leaders are clear how workers support the business to achieve its objectives – and how their role contributes.

Workers understand these expectations and hold themselves and each other accountable for delivering on them. Expectations set by senior leaders and managers are reflected in the way the work is undertaken. Senior leaders encourage managers and workers to be actively involved with other organisations in the sector to improve health and safety. This may include hosting seminars and meetings for clients and regular customers to ensure that their expectations of performance reflects good health and safety practice.

Senior leaders, managers and workers continually encourage and support others across the organisation to be leaders in health and safety. Leaders demonstrate good practice and clarify why a practice is adopted. For example, senior leaders reiterate that it is not acceptable for drivers to talk on a cell phone when driving and ensure that they lead by example in this regard. Leaders could also invite worker representatives to attend management meetings.

PERFORMANCE REQUIREMENT 2 - CONTINUED

Assessment



Evidence

- Senior leaders can explain a time when they have recognised and rewarded good practice and performance. They are able to articulate why such recognition is important and are likely to link this to organisational culture, psychological safety and a basic understanding of people (social psychology).
- Senior leaders can explain a time when they have raised an issue or discussed performance or practice with workers. They are able to explain how they approached this, and what the consequences were. They are mindful of the need to be fair and just.



- Performance plans
- Operator licensing
- Development plans
- Job descriptions
- Newsletters, emails, memos, video clips
- Policies and procedures
- Vehicle maintenance schedules

Senior leaders get personally involved in assisting workers to resolve health and safety issues and to implement workers ideas for improvement. For example, they invite drivers to workshops to discuss 'lessons learned' and root causes of health and safety issues.

Senior leaders take the time to increase their personal knowledge of health risks and safety risks and share that knowledge with the workforce. Senior leaders proactively share learnings from safe and unsafe behaviours and practices.

Senior leaders hold managers and workers including contractors, suppliers and other parties to account for health and safety, this is reflected in organisational processes for procurement and delivery. Senior leaders understand and always follow the health and safety rules. Workers are encouraged to speak up. For example, in the CEO's monthly email/blog to staff he/she praises a driver who refused to unload at a site she was delivering to that was not prepared for her, and returned to base.

A Leading Business

Senior leaders actively try to improve health and safety in businesses that they interact with and regularly communicate health and safety messages to the community and businesses.

The community and other businesses that interact with the organisation recognise the organisation as a health and safety leader.

PERFORMANCE REQUIREMENT 3

The business strives to continually improve health and safety practice and performance

- 3.1 The business sets goals for health and for safety improvement
- 3.2 The business plans and implements actions to meet health goals and safety goals
- 3.3 The business monitors and evaluates progress against its health goals and safety goals
- 3.4 The business, with workers or their representatives, reviews and evaluates its effectiveness in risk management and broader health and safety management
- 3.5 The business uses ongoing monitoring, review and evaluation activity to inform business decisions and change

Assessment



Evidence

- Business performance information that is visible to workers includes health and safety goals and progress against those goals.
- If health and safety goals/objectives are not visible to workers, they can be easily accessed by workers.
- Visible information on health and safety goals and objectives is up to date.



- Workers (or their representatives) can explain how they contributed to setting goals and developing action plans.
- Workers are able to explain what the goals of the organisation are for health and safety, and how their team contributes to achieving those.
- Workers are part of reviews and debriefs and can explain why these are undertaken and how they inform action. They may have examples of things that have changed as a result of review and monitoring activity. For example, an automatic vehicle control of entry system (raising barrier) was introduced after a review with workers of site incidents found that uncontrolled traffic presented a hazard to pedestrians.



- Leaders can explain the business' health and safety goals/objectives.
- Leaders can outline what they are doing to help meet the health and safety goals/ objectives.
- Leaders are aware of how the business is performing against health and safety goals/ objectives. For example, quarterly/annual shareholder reports include progress against health and safety goals
- Leaders can explain how workers are involved in the setting and reviewing of health and safety goals/objectives.



- Health and safety plans
- Health and safety strategy

A Performing Business

Health and safety goals are set based on an understanding of current performance and in line with the strategic intent of the organisation. For example, the need to reduce near miss incidents of falling material from improper load securing in the yard is assessed, and workers are involved in how this is to be achieved. Worker representatives have been involved in developing goals relating to health and safety, and in the development of plans at various operational levels of the business to ensure that the goals are met.

Monitoring activity is undertaken at the operational as well as the strategic levels of the business.

Workers understand what they need to monitor and this information is used by their immediate managers to inform decisions and action. This may include introducing health monitoring as the effects of fumes and dusts are unknown.

The overall approach to health and safety management is reviewed by senior leaders and workers, and areas where improvements could be made are identified. This review focuses not just on the outcomes that are being achieved, but on the way health and safety is approached overall.

A Leading Business

The business uses performance indicators that are directly related to reducing health and safety risks. For example, indicators linked to how well risk controls for risks such as driver fatigue are working.

PERFORMANCE REQUIREMENT 3 - CONTINUED

The business includes contractor and supplier health and safety performance in its own performance measures.

The business measures its leaders and managers individual contributions to health and safety performance through performance appraisal or similar individual performance measures.

The business actively provides opportunities for contractors and suppliers to improve their health and safety performance. An example would be the screening and vetting of labour hire drivers to ensure the standards of good performance are set prior to induction to the company.

The business looks externally for best health and safety practice that can be applied within the business.

PERFORMANCE REQUIREMENT 4

The business resources health and safety activities

- 4.1 The business plans, directs and provides resources for the achievement of its goals, plans and activities
- 4.2 The business ensures that health and safety roles, accountabilities and responsibilities are clear and understood in all business relationships
- 4.3 The business checks that workers (including contractors) have the competence and resources necessary to perform their roles
- 4.4 The business integrates health and safety into procurement
- 4.5 The business proactively accommodates employee incapacity and ill health

Assessment



Evidence

- Contractor induction requirements (or similar) are on display or communicated where contractors may access the site.
- Processes for communicating or checking competencies are available where competency is a control for a critical risk. For example, licenses, a training matrix or some other visible means of verifying training, or train the trainer courses for those who mentor staff.



- Workers believe they have the time, money, equipment and capability to do their job and importantly that those around them do as well. They can give examples of these resources being provided.
- Workers can explain what they do if they need more resource – and can provide examples of when this has been provided or when it has been rejected with reasons why, such as ensuring all vehicles are maintained in a safe condition, and logs and prestart checks are reviewed and followed up on.
- Workers believe that the business will accommodate workers with incapacity or ill health.



- Leaders can summarise the resources available to meet health and safety goals/objectives.
- Leaders can clearly explain their specific health and safety responsibilities.
- Leaders can explain how their performance is measured against specific health and safety expectations.
- Leaders can explain how they have confidence that workers exposed to risks have the competencies.
- Leaders can outline how health and safety is a part of procurement decisions, including contractor selection. For example, contractors are asked for evidence of satisfactory external audits for quality and safety.

A Performing Business

The business provides opportunities for stakeholders to be involved in identifying resources needed to meet health and safety goals/action plans. Senior leaders are open to discussing resource allocation, and actively ask for information about resources when making decisions.

Resources cover the broad areas of people, process and plant and includes financial investment and infrastructure (IT). Resource allocation considers having contingency funds for unforeseen expenses such as hiring additional drivers and loaders instead of expecting existing staff to consistently work overtime. This helps manage risks from fatigue.

Responsibilities, accountabilities and roles are well defined in all relationships (internal within the business, and between workers/the business and others when working together or alongside). This is part of the procurement process and the organisation's operational model.

The business evaluates individual managers' performance against health and safety expectations/responsibilities and workers hold each other accountable for health and safety performance. The business supports workers and managers to attend additional training, (beyond regulatory and legal requirements) to improve health and safety outcomes. Training is understood to be different to competence and capability, and the business focuses on competence and capability building. For example, this might mean that fork hoist operators are given manual

PERFORMANCE REQUIREMENT 4 - CONTINUED

Assessment



Evidence

- Evidence that resources required for health and safety activities have been identified and are budgeted.
- Health and safety roles and responsibilities are defined (where relevant).
- Processes are in place to evaluate contractors' competency to safely carry out hazardous work.
- The business has formalised expectations for health and safety in procurement and design.

handling training which is beyond a minimum requirement to hold an F endorsement alone, and are given effective supervision to ensure good practices are maintained.

The business can articulate how procurement decisions align with its health and safety vision/values and goals, and how health and safety is woven into all procurement activity (contractors, equipment and plant). The business has an effective re-integration and return to work programme that applies to work and non-work injury and ill health.

A Leading Business

The business monitors that resources applied to meeting health and safety goals/objectives are sufficient and has mechanisms for adjusting these where necessary. This might include a system to ensure evidence and actual practices are verified. An example of this would be to have an officer represented on industry safety forums such as the NZTA Zero Harm Group and being involved in disseminating trends and issues the Industry faces.

The business monitors how effectively resources that are applied to health and safety improve risk management and health and safety related outcomes. The business actively looks for ways to improve worker and contractor skills in working safely. The business incentivises businesses it interacts with to improve their health and safety management through supplier selection and preferred contractor arrangements. It also proactively engages with businesses and other parties that it shares risks with to co-ordinate the management of such risks (such as fleet management companies, vehicle service and maintenance companies and those companies that provide training for staff).

Worker Engagement

PERFORMANCE REQUIREMENT 5

The business communicates effectively

- 5.1** The business' methods and content of communication meet the needs of workers
- 5.2** The business is responsive in resolving disagreements or issues
- 5.3** The business communicates and shares learnings

Assessment



Evidence

- Workers may be observed communicating with others external to their workplace (contractors, others on site). This communication is respectful, clear and understanding is being checked.
- There may be the opportunity to observe workers calling each other out/raising issues with each other about health and safety.
- The interactions between leaders and workers demonstrate that the leader has cultivated a safe environment. This is observed through the way and frequency with which workers disagree, raise ideas and issues and interact with each other.
- The work teams appear cohesive and well-functioning.

A Performing Business

A variety of methods for communication can be identified in the business. These may include verbal, written, electronic, pictorial.



The methods are relevant to the nature of the work being undertaken. For example, information and communication that is used outdoors is likely to be different to that used in an office. However, common terminology or Industry terms are adopted by all staff to ensure communication is effective and relevant.

Communication methods have been explored with some workers or the representatives to identify the most effective methods to use in particular circumstances. The methods of communication are suitable for the work and enable workers to clearly understand important information. Processes to confirm messages and information will include time for workers to be followed up with timely responses to their queries. The communication methods and mechanisms for feedback extend to others including contractors, suppliers and those the business works with or alongside.

There is a method for checking that communication is received and understood. The business actively encourages workers and representatives to suggest ways to communicate more effectively.

Literacy, language, cultural diversity and levels of health and safety knowledge of the workers has been considered in communication content and delivery methods.

PERFORMANCE REQUIREMENT 5 - CONTINUED


Assessment	Evidence
 <p>Interviews with Workers</p>	<ul style="list-style-type: none"> - Workers are able to explain how they communicate with other workers, other locations and others who do not work directly for the business on health and safety matters. - Workers perceive that leaders communicate effectively and can give examples of when they have done this (this might include communication around changes in the business, different methods or tools for work, incidents that have occurred elsewhere in the business, or communication around how well the business is performing against goals). - Workers perceive that leaders listen to them when they communicate, and can give examples. For example, concerns over the risks to operators and drivers when loading in the weather (exposure to getting cold and wet and to UV radiation) resulted in the business installing an all-weather gantry roof. - Workers can explain what information they need from others, and what they can and need to share with others external to the business. - Workers are able to explain the purpose and content of any documentation that may be available - Workers can explain how to raise issues or concerns and can articulate what the business will do about them. - Workers express a level of trust or confidence that issues, ideas and even bad news will be handled well by the business, and are able to give examples of when this has occurred – or why they feel this way.
 <p>Interviews with Leaders</p>	<ul style="list-style-type: none"> - Leaders understand the worker demographics and can give examples of when they have accounted for literacy and language levels, cultural diversity and levels of experience when communicating. This may include liaisons with local community leaders such as iwi or church groups as it is recognised that many of their staff are recruited through referrals from relatives currently employed in the yard. - Leaders know what to do when a issues is raised and there is consistency across leader's approaches. - Leaders share information and learnings with others and can describe the approaches they take to such communication. - Leaders can explain why it is important to respond positively even to bad news – and are able to give examples of when they have done this.

A Leading Business

The business communicates health and safety learnings to the wider business community, and provides opportunities for sharing health and safety improvements in their industry. For example, through taking part in industry forums or hosting or promoting contractor safety events.

The business actively looks for barriers to effective communication such as literacy, language, access to information, access to meetings and takes steps to overcome these. For example, where literacy issues exist the business provides literacy training. Where cultural differences exist, the business invests in cultural awareness training and education.

PERFORMANCE REQUIREMENT 5 - CONTINUED

Assessment	Evidence
	<ul style="list-style-type: none">- Examples of a variety of physical communications are available and these may include more innovative methods such as posters, videos, emails, communication plans, alerts or apps.- Examination of the physical communication shows that the intended audience is clearly identified and the communication is appropriate for that audience - this will be evidenced by examining the language, style and tone relevant to the audience needs.- The messages in the communications are consistent and in line with the observed behaviours and activities of workers and leaders.- Where communication is provided, there is a method to verify that it has been understood. This can be evidenced in a multitude of ways (from asking to testing).

PERFORMANCE REQUIREMENT 6

The business engages with, and empowers, workers and representatives

- 6.1** The business ensures that workers have the opportunity for involvement in matters that may affect their health and safety
- 6.2** The business ensures that worker engagement, participation and representation practices are agreed, enabling, resourced and supportive
- 6.3** The business defines worker and representative authority to take action in matters that directly affect their health and safety
- 6.4** The business ensures workers and their representatives are effectively involved in decisions related to risk management
- 6.5** Workers and their representatives are directly involved in the setting and monitoring of health goals and safety goals for the business

Assessment



Evidence

- Notice boards/key information points in the business may have pictures or information about representatives, worker forums or consultations.
- Mechanisms for workers to communicate feedback on health and safety matters (access to electronic/paper based reporting systems).
- Information on worker authority to take action in health and safety matters is easily available to workers. For example, it is included in all staff inductions and suitable posters are on staff noticeboards.
- Workers have means to easily communicate with employee safety representatives.,



- Workers will be able to explain the opportunities they have to be involved in decisions or activities that may impact their health and safety.
- They can provide examples of when they have been asked for their thoughts and ideas, and will be able to give examples of how this has influenced the action that was taken. A good example might be an internal competition or team event to identify and promote great ideas.
- The workers and representatives will be able to describe the support and training/development they are provided to enable them to be involved in decisions that could impact their health and safety. This support includes time.
- Workers will be able to explain who represents them on health and safety matters (where formal representation exists), and what the role of these workers is.
- Workers report that the membership of committees/meetings and methods to set agendas and run meetings, ensures workers/representatives can raise issues and be involved in decision-making.
- Workers identify that they are confident to stop work if they assess it as unsafe.

A Performing Business

Structures for worker participation and engagement are clear and understood by workers. They have been developed and designed with the workers and cover geographical locations and risk/activity differences. This may also mean that a number of meetings are held to ensure that shift workers or drivers who are not usually based on site have the opportunity to attend and contribute.

The business ensures diversity in participation and engagement practices, actively encouraging under-represented groups to participate and be engaged in health and safety matters that affect them. For example, contractors, temps and suppliers are paid for the time that they attend health and safety meetings.

Senior leaders and Managers encourage workers to take a leadership role in health and safety, and provide development opportunities to enable them to do so. For example, providing training opportunities for employees or temps interested in becoming a health and safety representative.

The business identifies and allocates the resources needed for effective worker engagement – this includes time, development and finance. For example, allocating sufficient time for health and safety meetings so staff do not feel pressured into not participating as they need to return to work.

Senior leaders and Managers respect differences of opinion and encourage workers to challenge

PERFORMANCE REQUIREMENT 6 CONTINUED

Assessment

Evidence

Interviews with Leaders

- Leaders can outline and provide examples of the processes used for worker engagement and worker involvement in decision making on health and safety matters.

Documentation

- There may be formal terms of reference for participation forums.
- Health and safety committee meeting minutes or actions.
- Training plans. These have evidence of being agreed and developed with the workers.
- Training Certificates.

assumptions, this leads to the business and workers engaging in open and transparent health and safety conversations. Workers are confident in expressing concern and ideas, and these are responded to by the business. Workers volunteer to be in health and safety roles and to participate in activities – there is no shortage of volunteers because the roles are perceived to be supported and important.

The business takes actions to understand the effectiveness of worker engagement and participation practices and actively seeks to improve these with workers.

Worker representatives influence spending and action for health and safety.

A Leading Business

Worker representatives are always involved in decisions impacting on health and safety. The business is continuously looking for ways to improve worker representation in health and safety and worker representative skills. Mechanisms are in place to include contractor and supplier worker representatives in the worker engagement processes.



Risk Management Performance Requirements

To protect workers from both short and long term harm, a business needs to have effective processes in place to identify, assess and control both health and safety risks. SafePlus assesses how a business identified and manages health and safety risks, by looking for evidence of risk management processes in place, knowledge of those processes within the business, and by looking in depth at how three health and safety risks faced by workers are managed.

Risk Management

PERFORMANCE REQUIREMENT 7

The business, with workers and their representatives, identifies work-related health risks and safety risks

- 7.1** The business uses a variety of methods to identify health risks and safety risks
- 7.2** The business applies the methods to the identification of both health risks and safety risks
- 7.3** The business applies the methods to the identification of risks in its supply chain and/or from the activities of other parties including contractors
- 7.4** The business applies the methods to the identification of risks associated with change, non-routine activities and emergencies

Assessment

Evidence



- All observed risks have been identified by the business.
- Mechanisms available for workers to communicate risks (electronic/paper/verbal risk reporting).
- Different risk identification methodologies observed in use (eg, pre-start/drive checks for vehicles, pre-use checks for machinery, daily tailgates, environment checks for potential risks such as weather, breakdowns, absences, changed conditions dynamic risk assessment, verbal reporting etc).
- Evidence that risk identification has been applied to contractors/suppliers observed (job safety analysis in use where contractors working, permit systems in use etc).
- Recent changes in the workplace observed (new equipment/materials/processes) to test risk identification as part of change management.



- Workers are able to explain the health risks and safety risks they are both exposed to and create in their tasks and locations.
- Workers understand the interaction between their work and the work of others either within their business or external to their business (contractors, others on site) and can explain how risks are identified in work where others are involved or nearby.
- Workers are able to explain the range of hazards that may lead to a particular risk event, and also the how they identify risks that may be a consequence of controls that they implement.
- Workers say they generally report hazards and incidents.
- Workers are able to explain how they identify emergencies and risks with non-routine activity. For example, PTW are issued for non-routine high-risk tasks such as confined space entries.

A Performing Business

The business uses a variety of methods for identifying risks at the operational and strategic levels. A business at this level may seek external validation of its risk identification methods. Suppliers, contractors and other parties are involved in risk identification with the business. There is an understanding of how to identify risks arising from change and non-routine activity. For instance, a robust Lock Out Tag Out (LOTO) regime is enacted when maintenance is being conducted on plant and vehicles.

The business identifies the risks that are created through the implementation of risk controls for other risks. The business identifies the risks its activities have on other parties including contractors, the public and suppliers. This may include dust suppression or clean up rosters for material in the yard being blown across other sites.

The business communicates, collaborates and coordinates with other parties including contractors, the public and suppliers to identify risks. The business actively seeks to identify risks before changes occur. The business has identified the risks that may lead to emergency situations, and fully understands risk in terms of chronic, acute and catastrophic.

PERFORMANCE REQUIREMENT 7 CONTINUED

Assessment



Evidence

- Leaders are able to explain the health risks and the safety risks that their workers are exposed to or create in their tasks and locations.



- There may be examples of documented learnings from external incidents or events and how this is used to identify risks. For example, actual incidents or crashes are used in scenario-based training to improve risk identification of critical risks.
- The business reviews activities to identify emergencies that could occur as a result of work activities or work locations.
- Training material or process documentation that explains the different methodologies may also include technical methods such as Bow Tie, Failure Mode and Effects Analysis, Fault Tree Analysis as appropriate to the business.

A Leading Business

Risk identification is embedded in all parts of the business including procurement, work planning and management of change.





The business has a comprehensive understanding of the types of risks workers may be exposed to and actively seeks ways to identify where those risks may be present.

The business actively looks for emerging health and safety risks in similar industries, and participates in industry forums or groups where risk management practices and controls applicable to their work are shared.

PERFORMANCE REQUIREMENT 8

The business, with workers and their representatives, assesses health risks and safety risks

- 8.1 The business' methods for assessing risks are relevant, effective, understood and agreed
- 8.2 The business applies the methods for risk assessment to all risks
- 8.3 The risk assessment process focuses the business' attention and determines action

Assessment	Evidence
 Observations	<ul style="list-style-type: none">- Workers may be observed using risk assessment methodologies – particularly when undertaking a new task that day, or working in a new location.- Risk assessment information available to workers for main risks present at observed locations.- Workers have access to the risk assessment process and supporting information (where applicable).- Contractors can be seen using the risk assessment processes.
 Interviews with Workers	<ul style="list-style-type: none">- Workers will be able to explain the purpose of risk assessment, and how the assessment process(s) work in their business.- Workers identify that they agree with the risk assessment process that is used.- Workers will be able to describe whether they apply the assessment process to most likely, or the severe but plausible outcomes.- Workers will be able to explain the training they have had in risk assessment for safety risks and work-related health risks.- They will be able to give examples of when they have assessed a risk during their work, and how this led to action.
 Interviews with Leaders	<ul style="list-style-type: none">- Leaders will be able to explain the risk assessment methodologies, how they are applied and what the outcomes could be from the assessment process.- They will be able to describe how they use their team risk assessments to inform other areas of the business.
 Documentation	<ul style="list-style-type: none">- Posters, risk registers, databases with risk information, pocket books, policies, procedures.- There is documented evidence that the risk methodology has been agreed with workers (eg meeting minutes).

A Performing Business

The business uses comprehensive risk assessment methodologies and has defined whether it is the most likely impact or the severe but plausible impact that is being assessed when the methodology is applied. The business is clear whether it is the inherent or residual risk assessment that is used for monitoring and reporting purposes, ensuring consistency. The results of the assessment are used to inform action, and the actions required for each assessment outcome are clearly defined. This may be escalation, cessation of work or acceptance of the risk. Risks are re-assessed before changes occur to ensure that the impacts are understood.

All workers are trained in the business risk assessment methodology, and are able to apply the assessment methodology in a dynamic way to their activities and tasks. Hazards and incidents are regularly reported and this assists the business to identify risks. For example, lessons from incident investigations are reviewed as part of the regular risk assessment reviews.

The business assesses the risks its activities may have on other parties including contractors, the public and suppliers, before work commences, and involves those parties in those risk assessments. It actively uses industry and regulator risk information when assessing risk, and assesses risks before worker exposure.

A Leading Business

Risk assessment includes input from all workers that may be impacted by risks, including contractors.

The business uses information from industry to verify that risk assessment processes are accurate and valid and changes processes if necessary.

Risk assessment is integrated into all decision making where health and safety risks are present. For example, before overtime is approved for any individual a risk assessment must be completed to assess the potential impact of risks from fatigue.

PERFORMANCE REQUIREMENT 9

The business, with workers and their representatives, takes a proportionate approach to controlling health risks and safety risks

- 9.1 The business applies a hierarchy when controlling risks
- 9.2 The business identifies and applies a mix of controls to prevent, mitigate and respond to risks
- 9.3 The business risk assessments inform the identification and application of risk controls
- 9.4 The business identifies and uses guidance, standards and legal requirements when determining risk controls
- 9.5 The business consults, cooperates and coordinates with other parties including contractors, suppliers and those it works with or alongside when controlling risks

Assessment

Evidence

Observations

- Contractors and workers are observed working to the same standards.
- Agreed risk controls can be observed in use (physical and behavioural).
- Mechanisms to access information on agreed risk controls available in workplace.
- Information on emergency response procedures easily available.
- Emergency equipment easily available (mechanism for communicating emergency, spill equipment, rescue equipment, exit identification etc).

Interviews with Workers

- Workers are able to explain the key risks in their roles – and the key controls to manage those risks. For example, Lock Out Tag Out (LOTO) Procedures.
- Workers explain how they contribute to developing and deciding on controls.
- They will also be able to explain why those controls are required – the objective and purpose of each control.

Interviews with Leaders

- Leaders can explain the key risks in their work and in the work of their team.
- They are able to explain how the risk controls were identified, and how they know that there is a consistent approach across the organisation in respect of risks that apply across multiple teams or locations.
- Leaders will be able to explain how the risk controls were assessed as being the reasonably practicable steps they needed to take – and why elimination of a risk wasn't possible where controls are implemented.
- They may be able to provide examples of where risks have been eliminated.

Documentation

- There may be documented procedures or registers. These will exhibit language that is collaborative in nature and clearly tailored to the needs of the workers and the work environment. The documentation will show evidence of being used by workers.

A Performing Business

The business eliminates or designs out risks where it is reasonable and practicable for them to do so. For example, segregation of dispatch staff needing to walk through the loading yard was achieved by installing bollards and physical barriers. The business assesses the balance between cost and risk when applying a mix of prevention and response controls – this includes emergency planning, and is able to demonstrate how this assessment has been undertaken, and to explain why elimination was not reasonable or practicable.

The business understands the trade-offs when implementing risk controls – and how controls may exacerbate or cause other risks. For example, risks from having purpose built transporters for oversized loads could pose fall hazards for those that would tie down or bind the loads.

The business actively involves workers in the selection process for controls, and consults with contractors, suppliers and other parties to identify appropriate risk controls arising from all activities occurring on the same site. This could be demonstrated by having staff and visitor access and parking segregated from heavy vehicle movements by creating another street entrance/gate.

Those who are not directly involved in this process are informed of the actions they need to take to control the identified and assessed risks that are within the control and influence of the business. The business ensures that the objective or purpose of each

PERFORMANCE REQUIREMENT 9 CONTINUED

control in managing the risk is clear. This ensures that workers understand the 'why' for each control that is identified and supports engagement and buy in. The controls used to manage the same risks in different locations, teams or sites are consistent. At this level the same level of protection is afforded to workers regardless of where or when they are exposed to a risk. The business uses national standards, guidance and industry practice to identify risk controls and workers and leaders are familiar with these materials.

A Leading Business

The business always looks for the highest level of risk controls available and can demonstrate why a higher level of control is not practicable for all ongoing health and safety risks.

The business actively encourages and assists other businesses to develop and adopt higher levels of controls through its interactions with, contractors, suppliers and other businesses.

PERFORMANCE REQUIREMENT 10

The business, with workers and their representatives, ensures controls are effective in managing health risks and safety risks

- 10.1** The business checks that identified controls for health risks and safety risks are understood and implemented
- 10.2** The business checks that other parties understand and implement agreed risk controls
- 10.3** The business tests and verifies the effectiveness of risk controls
- 10.4** The business identifies and takes action to strengthen risk control effectiveness
- 10.5** The business investigates, learns and improves risk management from success and failure

Assessment	Evidence
 Observations	<ul style="list-style-type: none"> - Risk controls are observed to be in place. For example, fall arrest systems for working at height, fully functional and inspected fire appliances, and full control of access to hazardous areas. - Leaders may be observed checking risk controls are in place, or talking to those who are not implementing the controls.
 Interviews with Workers	<ul style="list-style-type: none"> - Workers are able to explain the checks that they perform before exposure to a risk in their work, to ensure that they are controlling the risks effectively. - Workers may also be able to explain any checks they undertake on others (eg contractors), and can give examples of support to speak to other workers if poor practices are observed. A “we don’t do that around here” culture is in place. - Workers say that hazards and incidents are generally reported, investigated and acted on.
 Interviews with Leaders	<ul style="list-style-type: none"> - Leaders are able to explain the information they provide to their leader (right up to the governance level) on risk control effectiveness.
 Documentation	<ul style="list-style-type: none"> - There may be a policy or procedure that encompasses the monitoring activity that the business will undertake on risk controls (their own or contractors and others). - Workers receive monitoring information about the effectiveness of controls and are involved in discussing ways to improve controls. - Monitoring reports and frameworks may exist which demonstrate the monitoring activity undertaken on key risk control indicators. This may include exposure monitoring, health monitoring and engineering tests for example. - There may be investigation reports and evidence that follow-up actions have been identified and implemented.

A Performing Business

Key risk controls have been identified for critical risks, and these are monitored. The results of this monitoring inform senior leader action and decisions. For example, the number of conformances/non-conformances with working at height controls monitored through workplace observations.

The workers in the business check that controls are in place before each risk exposure. They are able to articulate why a control is required and understand which risk is being managed and why. An example of this is a circuit de-energising and earthing checking procedure used before working on conductors or evaluation of the isolation of an area below workers working at height to prevent harm from dropped objects.

The business has monitoring programmes in place that verify that this is being completed, and may have an external verification process that checks the monitoring programme is effective. Monitoring activity leads to demonstrable change and improvement over time, and the business is constantly looking for ways to improve in consultation with workers and representatives.

There are high participation rates in programmes around health – particularly the health monitoring programme – and this type of monitoring is used to inform decisions and action. The business constantly reviews guidance, standards and national good practice as one of the methods for ensuring the effectiveness of risk controls. The business investigates and manages them to conclusion.

A Leading Business

The business seeks independent verification that risk controls are in place and effective.

The business assesses the effectiveness of risk controls for risks shared with businesses it interacts with, such as contractors and suppliers. The business actively and regularly consults with all businesses that may be impacted by risks, including businesses that it shares risks with to ensure risk controls remain effective.

Glossary

TERM/ACRONYM	DEFINITION
Contractors	Where workers are employed by another business or undertaking (PCBU) they are referred to as contractors in SafePlus. This includes subcontractors and employees of contractors and subcontractors. Note that in the Health and Safety at Work Act (2015) they are known as workers.
Culture	Shared attitudes, beliefs, perceptions and values in a workplace.
Harm	Harm includes acute injuries or illnesses caused by a single exposure or event, through to injuries and illnesses arising from multiple or long-term exposures. It includes physical and psychological harm.
Hazard	A situation or thing that has the potential to cause death, injury, or illness to a person. This includes a person's behaviour.
Injury prevention	Strategies to facilitate the prevention of harm.
Lead Indicator	Measurements that provide information that helps the business respond to changing circumstances and take actions to achieve desired outcomes or avoid unwanted outcomes. Lead indicators normally monitor what is happening in the present, and help improve future performance promoting action to correct potential weaknesses without waiting for demonstrated failures. Examples include training, safe conditions, safe behaviour, coaching, and similar safety seeking actions.
Risk	The possibility that death, injury or illness might occur when a person is exposed to a hazard. It refers to the likelihood and potential severity of harm arising from exposure to hazards.
Union	An organisation that advocates for its members. Employees have the freedom to join a union and bargain collectively without discrimination. A union is entitled to represent its members' employment interests, including health and safety matters.
Worker	An individual who carries out work as an employee, labour hire company worker, apprentice, trainee, outworker, person undertaking a work trial or work experience or a volunteer worker. For SafePlus purposes, where workers are employed by another PCBU (or are self-employed) they are referred to as contractors in the SafePlus Toolkit. Note that in the Health and Safety at Work Act (2015) they are known as workers.
Worker engagement	Actively seeking worker input in health and safety matters. This includes sharing information, providing opportunities for feedback, listening to worker and representative feedback, ideas and suggestions and enabling workers and their representatives to take part in decision-making.
Worker participation	Mechanisms for workers and/or their representatives to actively take part in health and safety management activities at both a strategic and "day to day" level such as health and safety meetings, representatives and committees. Mechanisms must enable workers in all work arrangements (e.g. full time, part time, casual, voluntary, remote workers, fixed term, piece rate workers and shift workers) to participate and or be represented.
Worker representative	A worker representative may be an elected health and safety representative, a union, or a person workers' authorise to represent them.

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