

# WorkSafe Quarterly Report

1 July to 30 September 2020

# WORKSAFE

Mahi Haumarū Aotearoa

This report is designed to provide an overview of the current quarter. It will include updates on our key priorities, progress against our strategic plan, progress against our strategic measures and operational focus areas. This quarter we have removed the system targets from the report. These targets will continue to be reported on annually.

## Key Strategic Updates

WorkSafe has identified actions needed to strengthen how we administer the **Adventure Activity Regulatory** regime, and, subject to resourcing, will prioritise these actions in FY20/21. As part of this we will consider discussing improvements to the regulations with MBIE. We are providing support to MBIE's targeted review of the Adventure Activities Regulations that has a particular focus on activities undertaken in naturally hazardous environments.

**Taura Here Waka**, WorkSafe's Strategic Plan, was officially launched across the organisation on 29 September, and included our 3 new organisational matapono (values). Taura Here Waka is WorkSafe's one unified, focused way of working to make a measurable difference on the path of becoming a world class modern regulator.

Budget 19 (**Modernisation**) funding supports WorkSafe becoming an Insights Driven Regulator and is core to Taura Here Waka. It gives 'rope and strength' to Taura Here Waka through 'base capability' investments to support the ten year modernisation journey. The funding deliverables are closely monitored and will be reported on quarterly with the necessary detail."

## Key Actions and Opportunities

WorkSafe has initiated a number of placed and general proactive media stories. An article from the Chief Executive on the need to focus on 'work' as opposed to just health and safety ran on Business Desk; the Wairarapa Times Age profiled a company's positive views of engaging in a Duty Holder Review process with us; a general release piece focused on advice to farmers in the wake of 3 farm deaths and a story on supply chain research commissioned by WorkSafe will appear in the next edition of Safeguard magazine.

WorkSafe launched a new behaviour change campaign on October 22. The campaign features meerkats – an analogy for caring for your work whanau – under the banner 'You can Sense it. You can stop it'. The campaign is television led, but is supported with social media, outdoor billboards and digital advertising.<sup>2</sup>

## Key Risks

The Board performed a focussed deep dive of the "Loss of Authorising Environment" strategic risk at the August meeting. As a result communications and stakeholder engagement activities to shape our performance story is being progressed.

Financial risks are starting to realise by self-funding the Whakaari investigation, energy safety pressures and the delayed ICT separation from MBIE. This is being somewhat offset by reprioritisation of expenditure, and health and harm prevention experiencing a slow start as they focus on a clear health action plan and intervention logic. Budget 21 proposals are being considered to support WorkSafe's longer term position. We are in the process of preparing a budget bid as part of the Government response to COVID-19, which we understand will begin shortly.

## Key Operational Updates

WorkSafe has engaged Crown Solicitors, Meredith Connell (MC), to provide advice and support into the investigation of the **Whakaari/White Island** tragedy and to assist in decision-making. WorkSafe's Specialist Interventions team has completed the majority of associated interviews and is assembling the information needed to evaluate whether relevant PCBUs have discharged their responsibilities. This information will be evaluated so if it is judged appropriate that charges should be laid, this process can be completed within the 12 month statutory time scale.

Engagement is underway for Te Ao Māori community **Harm Prevention** programmes in 3 regions – Te Taikourau, Tamaki Makaurau and Te Tairāwhiti. WorkSafe is supporting HASANZ in working with human factors / ergonomics (HFE) profession to build capacity and capability. Building from the work completed to release new funding for work-related health priorities, development of a national Roadmap for Healthy Work has begun.

WorkSafe has been active, as a part of its normal business, in responding to the All of Government Compliance Centre complaints and whilst visiting businesses checking on **COVID-19** compliance. Proactive action took place engaging with MBIE and Managed Isolation and Quarantine Facilities to ensure appropriate systems were in place. A key focus now is working across government to help ensure All of Government systems are in place behind the scenes to manage any future outbreaks.

## Enforcement and Litigation

**Table 1** displays the Percentage of Assessments that resulted in at least one notice being issued by quarter. (1 October 2019 – 30 September 2020). By targeting the right workplaces our assessments address higher risk operations, so we see a link between our assessments and enforcement measures and actions.

Industry	Q2 19/20	Q3 19/20	Q4 19/20	Q1 20/21	Year Total
Agriculture	59%	55%	43%	57%	57%
Construction	48%	44%	36%	45%	44%
Forestry and Logging	35%	25%	32%	39%	33%
Manufacturing	57%	56%	18%	58%	51%
Transport, Postal and Warehousing	32%	40%	18%	25%	31%
<b>All Industries (incl. 5 priority industries)</b>	<b>49%</b>	<b>46%</b>	<b>15%</b>	<b>37%</b>	<b>36%</b>

Source: WorkSafe Case Management System

Extracted 7 October 2020

**Table 2** displays the Average Number of Notices Issued per Assessment by quarter (1 October 2019 – 30 September 2020). Not every assessment results in a notice as seen in the table 1, table 2 indicates that some assessments (especially in Agriculture and Manufacturing) result in more than one notice being issued.

Industry	Q2 19/20	Q3 19/20	Q4 19/20	Q1 20/21	Year Total
Agriculture	1.08	0.98	0.80	1.08	<b>1.03</b>
Construction	0.81	0.76	0.61	0.76	<b>0.75</b>
Forestry and Logging	0.60	0.41	0.57	0.64	<b>0.56</b>
Manufacturing	1.20	1.17	0.58	1.29	<b>1.13</b>
Transport, Postal and Warehousing	0.52	0.70	0.37	0.48	<b>0.54</b>
<b>All Industries (incl. 5 priority industries)</b>	<b>0.89</b>	<b>0.86</b>	<b>0.27</b>	<b>0.70</b>	<b>0.66</b>

Source: WorkSafe Case Management System

Extracted 7 October 2020

Weekly Ministerial updates are provided on enforcement action; the table above provides a view over quarterly performance. The highest number for Q1 were in Agriculture and Manufacturing and our level of activity has increased on Q4.

Notice types include, Directive Letter; HSNO Compliance Order; HSWA Improvement Notice; HSWA Infringement Notice; HSWA Non-Disturbance Notice; HSWA Prohibition Notice; Sustained Compliance Letter and Verbal Directions.

**Key litigation activity in Q1** included the last Health and Safety in Employment Act case being disposed in September 2020. This was a prosecution of **Talleys Group Limited**, arising from an accident in May 2015 in Ashburton, where a worker was rendered paraplegic after being struck by a bin falling off a forklift in May 2015. Talleys was charged with a breach of sections 6 and 15(1)(a) of the Health and Safety in Employment Act 1992. The Judge ordered Talleys to pay emotional harm reparation of \$50,000 along with a further \$131,204.58 for consequential loss. Talleys was also ordered to pay a fine of \$36,000 (from a maximum of \$250,000).

The Courts continue to use the new sentencing options under HSWA, in a prosecution of **Otago Polytechnic**, the Judge made an order for a court-ordered enforceable undertaking requiring Otago Polytechnic to provide training, advice and information in work health and safety rather than a fine.

# Progress against our Strategic Plan

## We'll choose the most effective interventions (1 of 3)

### Focus Owner – Insights and Implications

We are building and rolling out more deliberate and co-ordinated activity across WorkSafe to strengthen the impact of our interventions. This includes an uplift in investment in work related health activity.

Priority	Q4	Q1	Key message for the quarter
Programme			
<b>Accelerated Silicosis</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Modernisation Funding)</i>	●	●	<p>WorkSafe inspectors have started second visits to the known 113 businesses working with engineered stone. The approach is to continue to engage, educate, and enforce in order to get the desired behaviour change.</p> <p>Inspectors are providing information to workers and businesses on how to get a health check, which starts with a visit to their general practitioner (GP). The GP visit is the start of the worker health assessment which will see them referred to the appropriate specialist clinicians through the ACC process.</p> <p>On 1 September a joint work programme with ACC and Ministry of Health, with advice from the Dust Disease Task Force was implemented providing a health assessment pathway for workers exposed to respirable crystalline silica.</p>
<b>Mentally Healthy Work</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Modernisation Funding)</i>	●	●	<p>A WorkSafe-wide multi-disciplinary team are in the process of designing a pathway from notification to prosecution of mental harm. The pathway will have applicability for notifications of other health harms.</p> <p>WorkSafe's mentally healthy work position was approved by the Executive Leadership Team. The position sets out what we expect PCBUS to do to identify risks and mitigate harm that arises from mentally unhealthy work, including bullying and harassment, fatigue and work-related stress.</p> <p>As we engage internally, across government, and industry, the enormity of the challenges for New Zealand on work-related health continue to emerge. WorkSafe is developing a Roadmap for Healthy Work. The Roadmap will act as the primary coordination vehicle to facilitate how we work to address the challenges; and improve work-related health outcomes.</p> <p>Q1 status is amber due to WorkSafe co-ordinating the priorities and most pressing areas of need to invest the additional funding</p>
<b>Licencing Refrigeration</b> <i>(Ministerial Expectation)</i>	●	●	<p>Despite the impact of the first and second lockdowns the programme finalised the procurement plan, is in the process of finalising the technology scope and schedule, and other milestones are nearing completion.</p> <p>Working alongside MfE we have built a relationship between both agencies to forward plan and determine how Refrigeration could be more joined up in the future in a cross government initiative.</p> <p>There is a growing commitment from the Industry to be involved in the changes to the base competencies that Refrigeration Technicians should have in the future.</p> <p>Q1 status is amber as the programme is subject to delays in the regulations being finalised.</p>
<b>Carcinogens Multifaceted Interventions</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Modernisation Funding)</i>	●	●	<p>Breathe Freely New Zealand website launched, evaluation is planned.</p> <p>Scoping of worker exposure database underway.</p>

## Progress against our Strategic Plan

### We'll choose the most effective interventions (2 of 3)

Priority	Q4	Q1	Key message for the quarter
Programme			
<b>Agriculture Programme</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	<p>We are working with MBIE on options for strengthening the regulatory framework for Crush Protection Devices (CPDs) on quad bikes. CPD subsidy offered by ACC extended for 6 months and will be promoted through WorkSafe communications and media channels.</p> <p>Pilot using CRM 3.0 predictive data to identify and flatten predictive harm peaks underway. Initial engagement with horticulture industry in the Hawkes Bay successful, industry are willing to participate in a co-design process and include workers (largely Pacific Peoples workforce).</p> <p>Q1 status is amber due work not progressing toward a mandatory stance for CPDs.</p>
<b>Construction programme</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	<p>Kaiarahi peer-to-peer mentoring programme in development. Evaluation of New South Wales SafeWork programme completed. Six educational topics to engage on identified, development of content underway.</p> <p>Te Hunga Manene, construction workers with greater needs completed an initial workshop with industry. This was held virtually and included supervisory level workers.</p> <p>Massey High School engagements almost completed – 58 young persons in a gateway programme attended. WorkSafe provided a base level of health and safety knowledge.</p>
<b>Manufacturing programme</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	<p>Workshop with key stakeholders in the meat industry held. Industry agreement to focus on cleaning and maintenance of machinery and ammonia risks. A suite of manufacturing interventions are currently being scoped.</p>
<b>Migrant workers and Puataonofo</b> <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Strategic Relationships)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	<p>CRM 3.0 predictive data (horticulture) pilot and Te Hunga Manene both include a strong focus on migrant workers.</p> <p>Delivery of Puataunofo Come Home Safely programme has ben re-establishing itself after Auckland COVID lockdown. Interest in workshops is strong and growing outside the Auckland regional boundary area. Focus for the programme continues to be Auckland as a priority with the Manufacturing, Construction and Transport, Postal and Warehousing sectors.</p> <p>Continuing to develop Phase 2 of Puataunofo with a focus on building community reach and a “train the trainer” approach.</p> <p>Identifying key Manufacturing businesses in Auckland with a high Pacific workforce to proactively work on delivery of Puataunofo and build cultural awareness of engaging with Pacific workers.</p>

## Progress against our Strategic Plan

### We'll choose the most effective interventions (3 of 3)

Priority	Q4	Q1	Key message for the quarter
Project			
Vehicle Mobile Plant <i>(SPE – Harm Prevention)</i>	●	●	<p>Use of seatbelts at work project due to publicly launch February 2021 - launch delayed due to the election date change and wider 'Meerkats' campaign launch delay. Seatbelts Quick Guide consultation complete and now in final phases of drafting.</p> <p>Site traffic management good practice guide industry consultation complete and now under revision. Related guides to also be developed.</p> <p>WorkSafe has commissioned research from a consortium of providers focused on understanding the pressures on health and safety through supply chains, and creating case studies of successful supply chain health and safety performance.</p> <p>ACC subsidy for proximity warning devices being progressed.</p> <p>Q1 status is amber due to seatbelts project and media campaign delay launch due to change in General Election date.</p>
WEPR + Health and Safety Reps (HSR) Discovery (Insights project) <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Strategic Relationships)</i> <i>(SPE – Harm Prevention)</i> <i>(Ministerial Expectation)</i>	●	●	<p>HSR Discovery insights project; Multiple stakeholders engaged, including two who submitted for the HSR Community of Practice. Interviews and workshops with HSRS already begun reaching HSRS across Aotearoa from multiple sectors.</p> <p>Toroawhi roving champions pilot extended for 6 months due to the impacts of covid-19.</p> <p>Q1 status is amber due to the impact of COVID-19 causing a 6-month extension to the Toroawhi pilot.</p>

## Progress against our Strategic Plan

### We'll make choices based on insights (1 of 1)

#### Focus Owner – Insights and Implications

Work underway is providing a good base to inform some of the choices we make. Broader work is required to understand our existing insight sources, where there are gaps and how our information is connected to provide the right insights. This work will take shape as service design progresses.

Priority	Q4	Q1	Key message for the quarter
Programme			
Pumahara / Evidence-led Decision and Risk <i>(SPE – Harm Prevention)</i> <i>(SPE – Regulatory Effectiveness)</i>	●	●	Pumahara is a tool that informs us where and how to intervene to make the greatest impact on health and safety, Phase 2 findings report is being finalised, with a detailed design for phase 3 underway. Formal internal consultation is being scheduled for phase 2 deliverables and findings. External peer review of conceptual framework and proof of concept outputs to address the following 'is Pumahara an appropriate tool to assist regulatory decision making for a really responsive risk based regulator?'.
Project			
Foundational Research to Inform our Investment choices <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(SPE – Regulatory Effectiveness)</i> <i>(Ministerial Expectation)</i>	●	●	Completed adapting the OccIDEAS questionnaire for the New Zealand context for the Carcinogens Exposure Survey On 24 September an open tender was released on GETs for an New Zealand supplier to undertake surveying.

## Progress against our Strategic Plan

### We'll listen and tell our story (1 of 1)

#### Focus Owner – Insights and Implications

Projects and core services are supporting our ability to share what we are doing and why. We will consider further investment in key foundations such as a clear communication and engagement strategy, brand development, design plan and integrated marketing plan. This will help highlight benefits and outcomes and the prioritisation of key initiatives and core services in the future.

Priority	Q4	Q1	Key message for the quarter
<b>Programme</b>			
Planning and performance framework <i>(SPE - Organisational Excellence)</i>	●	●	Executive Leadership Team session held on investing for outcomes (investment/disinvestment) against Taura Here Waka priorities to become an insights-driven regulator.  Work underway for first investment workshop. Reporting refresh underway to align to Taura Here Waka.  Approach for developing WorkSafe's Strategic Outcomes Framework discussed with the Executive Leadership Team and with the Governance and Performance Committee.
Agriculture Marketing <i>(Health and Safety at Work Strategy)</i> <i>(SPE - Harm Prevention)</i>	●	●	Agriculture Marketing and content development has focused on highly targeted social media content and rural radio media, being particularly aware of COVID-19 and careful advert placement. Key messaging has been focused on Crush Protection Device (CPD) use and the ACC subsidy.
<b>Significant Core Activities</b>			
Maintain and continually improve WorkSafe's website and digital channels <i>(Health and Safety at Work Strategy)</i> <i>(SPE – All)</i>	●	●	Work is underway to improve the summary pages of the Data Centre by offering more industry and rates data. New case study and hub page templates were developed for the WorkSafe site. A new template is being developed to better present HSWA exemptions, and changes were made to improve filters and improve how we present court summaries.
Engagement, Marketing and Communications <i>(Health and Safety at Work Strategy)</i> <i>(SPE – All)</i>	●	●	WorkSafe's position on supporting Mentally Healthy work was promoted and published.  Communications support and collateral was provided for inspectors' second round of visits to engineered stone businesses.
Social Marketing Campaign <i>(Health and Safety at Work Strategy)</i> <i>(SPE – All)</i>	●	●	A benchmark survey was completed in August to determine key measurements for awareness and attitudes towards health and safety. These benchmark results help set effectiveness measures that the campaign aims to shift over time, the first results of this will be in March 2021.  Q1 status is amber due to the launch of the Social Marketing behaviour change campaign being delayed due to COVID-19 and delayed General Election date.
Marketing, Advertising and Content Development <i>(Health and Safety at Work Strategy)</i> <i>(SPE – All)</i>	●	●	Continued development of our social media content plan and content development, focused on case studies for mentally healthy work, asbestos awareness and HSWA basic facts.
Māori Worker Campaign (Health and Safety at Work Strategy) (SPE – All) (Ministerial Expectation)	●	●	The next version of the Safe Guy campaign targeting Māori youth will go live in Q4.

## Progress against our Strategic Plan

### We'll measure what we do (1 of 1)

#### Focus Owner – Insights and Implications

Good progress is now being made in establishing a team to deliver robust project management processes and disciplines.

Priority	Q4	Q1	Key message for the quarter
Programme			
Enterprise Programme Management (EPMO) <i>(SPE - Organisational Excellence)</i> <i>(Modernisation Funding)</i>	●	●	<p>Recruitment and appointment of the EPMO roles are being finalised.</p> <p>Implementation roadmap for the EPMO is under consideration.</p> <p>Taura Here Waka Governance reporting from the PPM tool, on in-flight initiatives is being refined and first version to be considered with the Executive Leadership Team.</p> <p>The Delivery Board Terms of Reference is being developed and will be provided to the Taura Here Waka Governance Board for consideration.</p> <p>Q1 status is amber due to delay in finalising and appointing the EPMO roles.</p>

## Progress against our Strategic Plan

### We'll partner across Aotearoa (1 of 1)

#### Focus Owner – Insights and Implications

Each initiative is underway and aligned to the focus area. They each honour the intent of maturing the way we deliver our services. The changes to the Plant and Structures Regulations is the only one with significant delays, and may remain paused while we await the post-election regulation timetable.

Priority	Q4	Q1	Key message for the quarter
Programme			
Legislative Obligations (SC36) <i>(SPE – Regulatory Effectiveness)</i> <i>(Ministerial Expectation)</i>	●	●	Design approach takes a more holistic view of how legal obligations are met through our processes, technology and people. Legal obligations have been categorised and prioritised within the functions and services we deliver as a regulator. A prototype is being developed and tested with the Hazardous Substance Exemptions team, Policy and Legal. This work is also aligned with other significant pieces of work across Service Design and Modernisation.
Crown Māori Relationships / Māori Partnership Programme <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(SPE – Strategic Relationships)</i> <i>(Ministerial Expectation)</i>	●	●	Active connections with 29 Iwi. Reviewing options to coordinate the relationships in a manageable way and shift toward enduring health and safety partnerships. Planning has commenced in Te Taitokerau and Tamaki Makaurau to deliver Kaupapa Māori community based harm prevention programmes with communities for Māori workers. Awaiting approval for Mate Ohore work to commence. Working with Te Arawhiti Māori-Crown relations on the development and delivery of the Te Ao Māori capability framework for Government Agencies.
Significant Core Activities			
Plant and Structures - Stage 1 <i>(SPE – Regulatory Effectiveness)</i> <i>(Ministerial Expectation)</i>	●	●	No movement on Cabinet decisions regarding drafting new plant and structures regulations until post the General Election. Q1 status is amber due to Plant and Structures work facing continued delays as policy decisions on the content of the regulations have yet to be made.

# Progress against our Strategic Plan

## We'll be set up for success (1 of 2)

### Focus Owner – Insights and Implications

The most significant issues relate to ICT projects in regard to scope and cost pressures. Service Design is still at the design phase where focus and scope is critical to ensuring achievable outcomes.

Priority	Q4	Q1	Key message for the quarter
<b>Programme</b>			
Leadership Development Programme <i>(SPE – Organisational Excellence)</i> <i>(Ministerial Expectation)</i>	●	●	Senior Leadership Group established. Additional group input required to consolidate members' understanding of and alignment to a new way of working.  50% of the group have commenced their development programme, the remaining group members are currently completing pre-entry assessments and the kick-off is in October.  An Executive Leadership Team support process has been established alongside the leadership programme to ensure consistent language and targeted support for those on the programme.
Targeted Development <i>(SPE – Organisational Excellence)</i> <i>(Ministerial Expectation)</i>	●	●	Cohort 19 successfully completed blended learning. All future programmes, consequent to work currently underway for Inspector Career Pathways will be developed using a blended approach.
Matapono (Values) <i>(SPE – Organisational Excellence)</i>	●	●	Launch videos and supporting collateral developed and launched with Taura Here Waka on 29 September.  A programme of embedding activities is being developed.
Service Design <i>(SPE – Organisational Excellence)</i> <i>(Modernisation Funding)</i>	●	●	The Governance of this strategic capability is being framed. Programme Manager recruitment is underway.  Workshops held to determine the current state concerns and potential future state opportunities in the core 9 operational value.  Creation of blueprints of the 9 value streams will be undertaken in next phase which will inform the technical CMS design blueprint work-stream.
The Digital Workspace <i>(SPE – Organisational Excellence)</i> <i>(Modernisation Funding)</i>	●	●	We are bringing together the Information Management and Office 365/EUC programmes into a 'Digital Workplace' stream.  Q1 status is red due to project delay and the re-planning in progress.
<b>Project</b>			
HRIS/Payroll and Health and Safety Solution <i>(SPE – Organisational Excellence)</i> <i>(Modernisation Funding)</i>	●	●	Commercials are complete and project started in earnest.  Journey mapping and Design workshops underway.

## Progress against our Strategic Plan

### We'll be set up for success (2 of 2)

Priority	Q4	Q1	Key message for the quarter
Project			
Plone Migration <i>(SPE – Organisational Excellence)</i> <i>(Modernisation Funding)</i>	<span style="color: green;">●</span>	<span style="color: red;">●</span>	Internal Compliance and Assurance activities are being finalised. Negotiation of L3 support contract underway.  Q1 status is red due to the delay in the roll-out and overspend to budget. As the project is complete and in production it will be removed from reporting in Q2.
Work Related Health Team set-up <i>(Health and Safety at Work Strategy)</i> <i>(SPE – Harm Prevention)</i> <i>(Modernisation Funding)</i>	<span style="color: grey;">●</span>	<span style="color: green;">●</span>	The Kaimahi Hauora business case was finalised and endorsed by the Executive Leadership Team. The recruitment process to build the team has been initiated.
Significant Core Activities			
Taura Here Waka <i>(SPE – Organisational Awareness)</i> <i>(Modernisation Funding)</i>	<span style="color: green;">●</span>	<span style="color: red;">●</span>	Forecasting indicates cost growth likely to require further prioritisation. Taura Here Waka plan is high level, and does not contain sufficient detail to cost robustly.  Further analysis of key pressure areas such as ICT, Whakaari, Plant and Structures required.  Q1 status is red due to one-month delay in completing the forecast.

12/16 ● SPE measures on track  
 2 ● Not available  
 2 ● Impacted by COVID

## Statement of Performance Expectations – Activity Measures (1 of 4)

Harm prevention		Target 20/21	Actual	Commentary					
1. Percentage of people who say our guidance is useful (this measure provides an indication of how we help all parts of the system understand what good health and safety practice looks like). <i>(Annual)</i>		≥ 97%	98%	● WorkSafe reports annually on guidance that was ‘very useful’ and ‘somewhat useful’. Our target is to hold or increase on the target.					
2. Percentage of assessments that include interaction with a worker or representative. <i>(Quarterly - YTD)</i>		≥ 80%	79%	● Our first quarter result of 79% demonstrates our commitment to worker engagement, participation and representation. We are slightly below our target due to Auckland September 2020 lockdown which restricted the ability of inspectors to speak with workers.  We expect to see an increase in worker engagement over the coming months subject to further COVID outbreaks.					
3. Deliver the three Work-related Roadmap to Healthy Work sub-plans for: Carcinogens and airborne risks, Musculoskeletal disorders, Mentally Healthy Work. <i>(Quarterly - YTD)</i>	<p style="text-align: center;">Roadmap to Healthy Work sub-plans</p> <table border="1" style="width: 100%; text-align: center;"> <tr> <td>Carcinogens and airborne risks</td> <td>Musculoskeletal disorders</td> <td>Mentally Healthy Work</td> </tr> <tr> <td>✓</td> <td>✓</td> <td>✓</td> </tr> </table>	Carcinogens and airborne risks	Musculoskeletal disorders	Mentally Healthy Work	✓	✓	✓	Achieve	● We have delivered the three sub-plans under the Healthy Work Strategy 2020/21. Programmes are underway with funding from the Wellbeing Budget.
Carcinogens and airborne risks	Musculoskeletal disorders	Mentally Healthy Work							
✓	✓	✓							
4. Percentage of assessments that include a focus on work-related health risks. <i>(Quarterly - YTD)</i>		65%	84%	● We are currently exceeding our target of 65% for this measure. This is due to the continued prioritisation of Work-Related Health in our activity. For quarter one, the top three areas of focus included: COVID-19, Noise and Body Stressing.					

## Statement of Performance Expectations – Activity Measures (2 of 4)

Regulatory effectiveness		Target 20/21	Actual		Commentary																														
5. Percentage of prosecutions that are successful. (Quarterly - YTD)	<table border="1"> <caption>Percentage of successful prosecutions</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Result (%)</th> <th>Sum of Target (%)</th> </tr> </thead> <tbody> <tr> <td>Q2 19/20</td> <td>94</td> <td>80</td> </tr> <tr> <td>Q3 19/20</td> <td>86</td> <td>80</td> </tr> <tr> <td>Q4 19/20</td> <td>88</td> <td>80</td> </tr> <tr> <td>Q1 20/21</td> <td>89</td> <td>80</td> </tr> </tbody> </table>	Quarter	Sum of Result (%)	Sum of Target (%)	Q2 19/20	94	80	Q3 19/20	86	80	Q4 19/20	88	80	Q1 20/21	89	80	≥ 80%	89%	●	For Q1 2020/21 15 prosecutions initiated 19 prosecutions disposed: <ul style="list-style-type: none"> <li>• 17 convicted</li> <li>• 1 unsuccessful</li> <li>• 1 discontinued due an accepted enforceable undertaking.</li> </ul>															
Quarter	Sum of Result (%)	Sum of Target (%)																																	
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6. Percentage of [formal] investigations where a final decision is made and communicated to victims and PCBUs within 12 months of commencement. (Quarterly - YTD)	<table border="1"> <caption>Percentage of formal investigations with final decisions</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Result (%)</th> <th>Sum of Target (%)</th> </tr> </thead> <tbody> <tr> <td>Q2 19/20</td> <td>100</td> <td>100</td> </tr> <tr> <td>Q3 19/20</td> <td>95</td> <td>100</td> </tr> <tr> <td>Q4 19/20</td> <td>89</td> <td>100</td> </tr> <tr> <td>Q1 20/21</td> <td>100</td> <td>100</td> </tr> </tbody> </table>	Quarter	Sum of Result (%)	Sum of Target (%)	Q2 19/20	100	100	Q3 19/20	95	100	Q4 19/20	89	100	Q1 20/21	100	100	100%	100%	●	All of the 18 decisions made in Q1 were communicated within 12 months of commencement.															
Quarter	Sum of Result (%)	Sum of Target (%)																																	
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Q4 19/20	89	100																																	
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7. Percentage of energy safety investigations (notifiable/non-notifiable incidents and unsafe situations) involving gas and electricity that are completed within 60 working days. (Quarterly - YTD)	<table border="1"> <caption>Percentage of energy safety investigations completed within 60 working days</caption> <thead> <tr> <th>Quarter</th> <th>Sum of Result (%)</th> <th>Sum of Target (%)</th> </tr> </thead> <tbody> <tr> <td>Q2 19/20</td> <td>91</td> <td>80</td> </tr> <tr> <td>Q3 19/20</td> <td>91</td> <td>80</td> </tr> <tr> <td>Q4 19/20</td> <td>87</td> <td>80</td> </tr> <tr> <td>Q1 20/21</td> <td>96</td> <td>80</td> </tr> </tbody> </table>	Quarter	Sum of Result (%)	Sum of Target (%)	Q2 19/20	91	80	Q3 19/20	91	80	Q4 19/20	87	80	Q1 20/21	96	80	≥ 80%	96%	●	For Q1 2020/21 191 of 199 (96%) investigations have been completed within 60 working days.  To financial year end, 191 of 199 (96%) investigations have been completed within 60 working days.															
Quarter	Sum of Result (%)	Sum of Target (%)																																	
Q2 19/20	91	80																																	
Q3 19/20	91	80																																	
Q4 19/20	87	80																																	
Q1 20/21	96	80																																	
8. Complete the assessment of all safety cases for existing Major Hazards Facility high hazard establishments by April 2021. (Quarterly)	<table border="1"> <thead> <tr> <th colspan="5">Safety case review schedule</th> </tr> <tr> <th>Step in cycle</th> <th>Dec 19</th> <th>Mar 20</th> <th>Jun 20</th> <th>Oct 20</th> </tr> </thead> <tbody> <tr> <td>Not yet begun</td> <td>10</td> <td>1</td> <td>0</td> <td>0</td> </tr> <tr> <td>In progress</td> <td>5</td> <td>6</td> <td>1</td> <td>0</td> </tr> <tr> <td>Further info required</td> <td>12</td> <td>1</td> <td>0</td> <td>0</td> </tr> <tr> <td>Completed</td> <td>30</td> <td>49</td> <td>57</td> <td>57</td> </tr> </tbody> </table>	Safety case review schedule					Step in cycle	Dec 19	Mar 20	Jun 20	Oct 20	Not yet begun	10	1	0	0	In progress	5	6	1	0	Further info required	12	1	0	0	Completed	30	49	57	57	100%	100%	●	We have met our 2020/21 target with 100% of the assessments of safety cases for existing Major Hazard Facilities completed.
Safety case review schedule																																			
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In progress	5	6	1	0																															
Further info required	12	1	0	0																															
Completed	30	49	57	57																															

## Statement of Performance Expectations – Activity Measures (3 of 4)

System leadership					Target 20/21	Actual	Commentary	
9. All WorkSafe-funded partnership agreements with sector groups establish (or have) work programmes that will deliver tripartite health and safety initiatives. (Quarterly)	Shopcare	Forestry Industry Safety Council (FISC)	Construction Health & Safety NZ (CHASNZ)	Agriculture Leaders' Health & Safety Action Group (ALHSAG)	Canterbury Health & Safety Charter	Achieve (new measure)	●	A tripartite group comprises government, business and worker representatives.  We have the Partnership Council and Pacific Peoples Responsiveness Advisory Group and Worker Engagement, Participation, and Representation (WEPR) as cross-sector tripartite groups.  This measure is focussed on groups that we support and provide funding for.
	In progress	✓	✓	In progress	✓			
10. The member of every partnership group funded by WorkSafe 'agree' that they have tripartite arrangements. (Annual)	Survey result to be reported at year-end					Achieve	●	New measure
Percentage of people we directly engage with who agreed WorkSafe is: (Annual)					Target 20/21	Actual 20/21		
11. Educative						Increase (> 70%)	●	We have not met our target for being "Educative" in the 2019-20 performance year with the result falling just outside the margin of error. Due to timing, the result does not include the work we undertook to support the all-of-government COVID-19 response.
12. Fair						Increase (> 91%)	●	
13. Proportionate						Increase (> 68%)	●	All other results have been achieved, with WorkSafe meeting or exceeding the target.
14. Performing effectively						Increase (> 70%)	●	The survey results are annual and will be updated when available.

## Statement of Performance Expectations – Activity Measures (4 of 4)

Organisational excellence		Target 20/21	Actual	Commentary
15. Staff engagement as measured in the 'We Say' survey results. (Annual)	<p>A horizontal bar chart with a grey bar extending to 61% and a dashed blue line extending to 100%. The x-axis is labeled with 0%, 61%, and 100%.</p>	≥ 61%	●	The 'We Say' survey will be launched on 7 October 2020.
16. Progress toward achieving strategic goal of becoming a leader in New Zealand health and safety practice. (Annual)	<p>A horizontal bar chart with a grey bar extending to 'Performing' and a dashed blue line extending to 100%. The x-axis is labeled with 0%, Performing, and 100%.</p>	Achieve 'Performing' level	●	<p>WorkSafe's latest safe plus assessment online survey results (July 2020) show that the "Performing" level has been achieved.</p> <p>Actions aligned with the HSW strategy are underway to support our aim of achieving leading safe plus assessment status by year end 2021/2022.</p> <p>Our next safe plus assessment will be scheduled in Q4 2020/2021.</p>

# Statement of Intent (1 of 2)

4/8 ● Sol measures on track  
 3 ● Results not comparable to target  
 1 ● No longer fit for purpose or not available

People value health and safety: Our work supports people to value health and safety as part of good business		Target 21/22	Actual	Commentary
<p>1. Percentage of workers in priority sectors who view health and safety as a top priority. (Biannual)</p> <p><b>NB:</b> This is a biannual measure, with no result reported this year.</p>		> 65%	49%	● We are on track to meet the 21/22 Statement of Intent target.
<p>2. Percentage of employers in priority sectors who view health and safety as a top priority. (Biannual)</p> <p><b>NB:</b> This is a biannual measure, with no result reported this year.</p>		> 75%	59%	● The result for 18/19 and 19/20 is not directly comparable to previous years or the target. The collection method has changed and the target population expanded to make the result more nationally representative. The result for all sectors was 48%.
<p>3. Percentage of people (workers and employers) who: Made at least one change to improve workplace safety and/or reduce risks to workers health. (Annual)</p>		> 84.5%	83%	● We are on track to meet the 21/22 Statement of Intent target.
Health and safety improves wellbeing: Our work enables good health and safety to improve people's quality of life		Target 21/22	Actual	Commentary
<p>4. Percentage of employers who have a process for identifying, assessing and managing the business's main health and safety risks, who also regularly review the processes and systems. (Annual)</p>		> 80%	N/A	● We are on track to meet the 21/22 Statement of Intent target with our 18/19 result (84%) exceeding the target (80%). MBIE did not run the survey for the 2019/2020 year, meaning this result cannot be updated.



## Statement of Intent (2 of 2)

Health and safety improves wellbeing: Our work enables good health and safety to improve people's quality of life		Target 21/22	Actual	Commentary																											
<p>5. Workers who agreed their workplace has ways for workers to participate in health and safety and raise issues. (Biannual)</p> <p><i>NB: This is a biannual measure, with no result reported this year.</i></p>	<table border="1"> <caption>Data for Measure 5</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~85</td><td>~85</td></tr> <tr><td>15/16</td><td>~88</td><td>~85</td></tr> <tr><td>16/17</td><td>~90</td><td>~85</td></tr> <tr><td>17/18</td><td>~88</td><td>~85</td></tr> <tr><td>18/19</td><td>87</td><td>84.75</td></tr> <tr><td>19/20</td><td>-</td><td>-</td></tr> <tr><td>20/21</td><td>-</td><td>-</td></tr> <tr><td>21/22</td><td>-</td><td>-</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~85	~85	15/16	~88	~85	16/17	~90	~85	17/18	~88	~85	18/19	87	84.75	19/20	-	-	20/21	-	-	21/22	-	-	> 90%	87%	<ul style="list-style-type: none"> <li>We are on track to meet the 21/22 Statement of Intent target with our 18/19 result (87%) exceeding the 18/19 target (84.75%).</li> </ul>
Year	Result (%)	Target (%)																													
14/15	~85	~85																													
15/16	~88	~85																													
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21/22	-	-																													
<p>6. Employers who agreed their workplace has ways for workers to participate in health and safety and raise issues. (Biannual)</p> <p><i>NB: This is a biannual measure, with no result reported this year.</i></p>	<table border="1"> <caption>Data for Measure 6</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~75</td><td>~75</td></tr> <tr><td>15/16</td><td>~75</td><td>~75</td></tr> <tr><td>16/17</td><td>~85</td><td>~75</td></tr> <tr><td>17/18</td><td>~85</td><td>~75</td></tr> <tr><td>18/19</td><td>86</td><td>~75</td></tr> <tr><td>19/20</td><td>-</td><td>-</td></tr> <tr><td>20/21</td><td>-</td><td>-</td></tr> <tr><td>21/22</td><td>-</td><td>-</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~75	~75	15/16	~75	~75	16/17	~85	~75	17/18	~85	~75	18/19	86	~75	19/20	-	-	20/21	-	-	21/22	-	-	> 90%	86%	<ul style="list-style-type: none"> <li>The result for 18/19 is not directly comparable to previous years or the target. The collection method has changed and the target population expanded to make the result more nationally representative.</li> </ul>
Year	Result (%)	Target (%)																													
14/15	~75	~75																													
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18/19	86	~75																													
19/20	-	-																													
20/21	-	-																													
21/22	-	-																													
<p>7. More operators respond to potentially dangerous precursor events: Percentage of all precursor events that were adequately responded to. (Annual)</p>	<table border="1"> <caption>Data for Measure 7</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>16/17</td><td>~65</td><td>~65</td></tr> <tr><td>17/18</td><td>~65</td><td>~65</td></tr> <tr><td>18/19</td><td>65.54</td><td>~65</td></tr> <tr><td>19/20</td><td>-</td><td>-</td></tr> <tr><td>20/21</td><td>-</td><td>-</td></tr> <tr><td>21/22</td><td>-</td><td>-</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	16/17	~65	~65	17/18	~65	~65	18/19	65.54	~65	19/20	-	-	20/21	-	-	21/22	-	-	> 99%	65.54%	<ul style="list-style-type: none"> <li>The results to date are not comparable to the target measure as the definition of precursor event was changed. As at 11 November 2020, there are: 377 – Total # of events 354 – Total # of events with a determined outcome 232 – Adequately handled 122 – Not adequately handled 22 – To be determined</li> </ul> <p>232/354 = 65.54% adequately handled.</p>						
Year	Result (%)	Target (%)																													
16/17	~65	~65																													
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18/19	65.54	~65																													
19/20	-	-																													
20/21	-	-																													
21/22	-	-																													
Collective approach to health and safety: Our work leads the health and safety system towards shared goals		Target 21/22	Actual	Commentary																											
<p>8. Percentage of people (workers and employers) we engage with who agreed that: WorkSafe is making a real difference to workplace health and safety in New Zealand. (Annual)</p>	<table border="1"> <caption>Data for Measure 8</caption> <thead> <tr> <th>Year</th> <th>Result (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>14/15</td><td>~85</td><td>~85</td></tr> <tr><td>15/16</td><td>~75</td><td>~85</td></tr> <tr><td>16/17</td><td>~80</td><td>~85</td></tr> <tr><td>17/18</td><td>~85</td><td>~85</td></tr> <tr><td>18/19</td><td>~85</td><td>~85</td></tr> <tr><td>19/20</td><td>72</td><td>70.5</td></tr> <tr><td>20/21</td><td>-</td><td>-</td></tr> <tr><td>21/22</td><td>-</td><td>-</td></tr> </tbody> </table>	Year	Result (%)	Target (%)	14/15	~85	~85	15/16	~75	~85	16/17	~80	~85	17/18	~85	~85	18/19	~85	~85	19/20	72	70.5	20/21	-	-	21/22	-	-	> 75%	72%	<ul style="list-style-type: none"> <li>We are on track to meet the 21/22 Statement of Intent target with our 19/20 result (72%) exceeding the 19/20 target (70.5%).</li> </ul>
Year	Result (%)	Target (%)																													
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20/21	-	-																													
21/22	-	-																													

## Organisational Risk

WorkSafe completed an Executive Leadership Team challenge session of the risk profile and control environments. This presented General Manager's with an opportunity to scan the environment and update the risk and control profile accordingly. Changes to the profile include ownership, inherent and residual risk ratings, simplification of the control environments and an effectiveness assessment. The final position will be approved by the Board in December. WorkSafe will enter a regular operating rhythm of monitoring, assessing and updating including planned improvements and any environmental operating changes and impacts. From Quarter 2, WorkSafe intends to provide an updated risk heatmap subject to Governance approval.

The critical risks remain unchanged. Following the ELT challenge session an overall reduction in the risk profile is expected to be confirmed once Governance processes have been applied. This is consistent with feedback to date on the level of satisfaction with WorkSafe's position. Some of the high level mitigations are not fully effective and have improvement plans in place.

Strategic Alignment	Critical risk category and description – High level mitigations
<b>Right mix of services</b>	<p>Risk of loss of support from authorising environment due to lack of/or unclear strategic direction, governance, execution of strategy, operational and/or regulatory failure, poor stakeholder management and lack of staff capacity to deliver resulting in loss of confidence in WorkSafe, inability to influence harm prevention targets, Ministerial and Parliamentary scrutiny, loss of mandate and adverse media and negative reputational impact.</p> <ul style="list-style-type: none"> <li>- <b>Performance and outcomes measured, tracked and reported with actions to address issues or gaps to ensure delivery of targets and measures</b></li> <li>- <b>Stakeholder engagement and management activities are planned and monitored with effective communication plans</b></li> <li>- <b>Development and implementation of an effective Intervention Logic Framework to deliver the right harm initiatives to priority sectors</b></li> </ul>
<b>Future-proof our organisation</b>	<p>Risk of inability to prioritise appropriately due to lack of/or unclear methodology, resourcing issues, poor implementation of decisions and operating in silos resulting in strategic objectives &amp; initiatives not being delivered, loss of confidence in WorkSafe, Ministerial and Parliamentary scrutiny, loss of political capital, adverse media and negative reputational impact.</p> <ul style="list-style-type: none"> <li>- <b>Clear accountabilities, Governance and Leadership frameworks in place with robust reporting</b></li> <li>- <b>Launch of Taura Here Waka (three year strategic plan), along with focus areas and initiatives to drive alignment and effective prioritisation</b></li> <li>- <b>Portfolio Project Management tool in operation with one project methodology being adopted across WorkSafe</b></li> </ul>
<b>Enhance our technology, data and infrastructure</b>	<p>Risk of processes and ICT systems are not fit for purpose due to resourcing capability and capacity issues, lack of customer centric lens, third party failure, inability to respond to events and lack of clear business requirements to inform product selection resulting in privacy breach, non compliance with obligations, inability and/or delays to undertake core responsibilities, initiatives not being delivered and adverse media and negative reputational impact.</p> <ul style="list-style-type: none"> <li>- <b>Digital strategy and ICT roadmap are completed and costed with a clear plan to improve ICT capability and capacity</b></li> <li>- <b>IT Advisory Committee established at governance level to oversee Digital Strategy and ICT performance</b></li> <li>- <b>Portfolio Project Management tool in operation with one project methodology being adopted across WorkSafe</b></li> </ul>

## People, Culture, Safety and Property (1 of 2)

### Taura Here Waka – Nga Matapono (Our Values)

#### **Whakakotahi** - we're united in a strong purpose

- We work together as one team to achieve our vision
- We contribute to making decisions, have our say, and then commit to the organisation's approach and direction
- We recognise that our individual differences are our collective strength.

#### **Kōrero mai** - we engage meaningfully

- We prioritise communication and engaging meaningfully and effectively
- We foster greater understanding by providing clear and concise information
- We encourage two-way discussions
- We're respectful, courageous, honest and compassionate in our communications
- We acknowledge all the languages and cultures of Aotearoa, and we are inclusive of them
- We interact with others in ways that enhance their mana and our own.

#### **Tiakina mai** - we're entrusted with a duty of care

- We're accountable for our work
- We take responsibility for the tasks we've been given
- We own our actions
- We achieve results
- We make lasting positive change in our work.

**Nga Matapono**, our new values have been agreed following a 12-month engagement process. Launch videos and supporting collateral and a program of supporting activities is being developed.

Two key programs of work were initiated in Q1- **Senior Leadership Group training programme** and **Human Resources Information System (HRIS) project**.

**Hauora**: An e-learning module covering policy and procedures for dealing with Bullying, Harassment and Discrimination at the workplace was launched in Q1.

The People, Culture, Safety and Property Team has been working closely with the Maruiti team in the framing up of the Māori Crown Relations Capability Framework; **Te Arawhiti**. This work will continue during Q2.

A key milestone was the **redevelopment of Inspector foundation level training** into a blended (remote and residential) approach. Cohort 19 successfully completed the formal part of their learning at the end of Q1, using the blended approach. Great progress has been made in Q1 aligning the **Inspector Development Framework** with the Operations Competency Framework

Q1 saw the appointment of a **Property and Facilities Manager**, and a National Property Strategy is under development. Focus areas for Q2 include finding a relocation solution for the Hamilton premises, reviewing options for 280 Queens Street in Auckland (property to be vacated in Q4 2021) and scoping of security upgrades across WorkSafe locations, in the context of the future property strategy.

### WorkSafe Vehicle Fleet

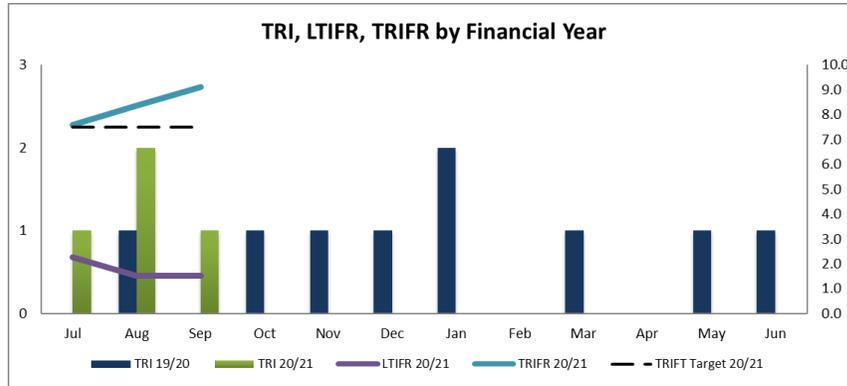
<b>54</b>	<b>21</b>	<b>0</b>	<b>142</b>
Diesel	Hybrid	Electric	Petrol

This is a change of 16 additional Hybrid vehicles and 16 fewer Petrol vehicles than the previous quarter.

Based on our own Sector Area Network advice, in conjunction with our planned activity for 2020/21 we are recommending the purchase of 23 Hybrid SUVs and 17 Utes to replace existing vehicles with the aim of ensuring more inspectors have access to a vehicle that meets WorkSafe's own safety standards for the activity they undertake.

# People, Culture, Safety and Property (2 of 2)

## Internal Health and Safety



Lost Time Injury Frequency Rate (LTIFR) is the number of lost time injuries occurring per million hours worked. Total Recordable Injury Frequency Rate (TRIFR) is the combined number of lost time injuries and injuries requiring medical treatment per million hours worked.

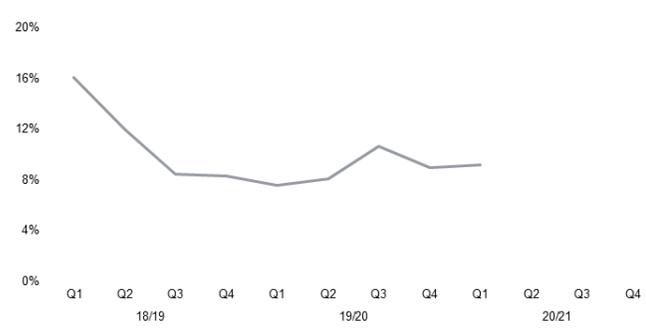
WorkSafe’s LTIFR remains below target. We have had four medical treatment injuries this quarter including one late report of treatment following the initial incident report. As part of a data cleansing exercise following the transition to an interim Health and Safety Incident Reporting system, two previous events have been downgraded from Medical Treatment Injury to Early Onset.

TRIFR has doubled since February 2020 – there are no specific trends appearing from these incidents. However, work is required to define what a Lost Time Injury and Medical Treatment Injury means for WorkSafe – specifically around the concept of ‘at work’ versus ‘work-related’.

Aside from the spike in Pain and Discomfort which is associated with the first COVID-19 lockdown, we have seen close to a doubling of incidents reported. This is being attributed to increased support and feedback for managers from the Internal Health and Safety Team and building trust in the system. Work continues to embed an escalation process to ensure Leaders are aware of incidents within their area.

## Turnover (Voluntary) and FTE

Organisation turnover (12 month rolling)



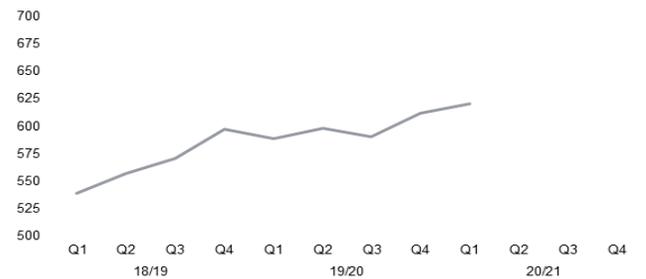
Q4 20    Q1 21    Commentary

9.0%    9.2%

Staff turnover for the 12 months to September 2020 was 9.2%. This is lower than the core public service turnover rate of 12.1%. It is not uncommon for turnover rate to rise with the introduction of a new strategy. The launch of Taura Here Waka may have an impact on turnover over the next 2-3 quarters. External factors such as uncertainty generated from the impact of COVID-19 on the employment market, could also come into play.

Of the 14 voluntary leavers in Q1, 3 were considered to be high performers; rating 4/5 in their last performance review. There were no specific trends with leavers spread across business units.

Organisation FTE (perm and fixed)



612.6    621.3

In Q1 Health and Technical Services came out of Operations and is now a standalone group. WorkSafe is building capability in this area- recruiting; 7 new Kai Mahi Hauora roles, in Q2.

**Head Count as at end of Q1** (including non-FTE):

- Public facing / Frontline: 419
- Strategy / Corporate: 213

# WorkSafe Financial Performance (1 of 4)

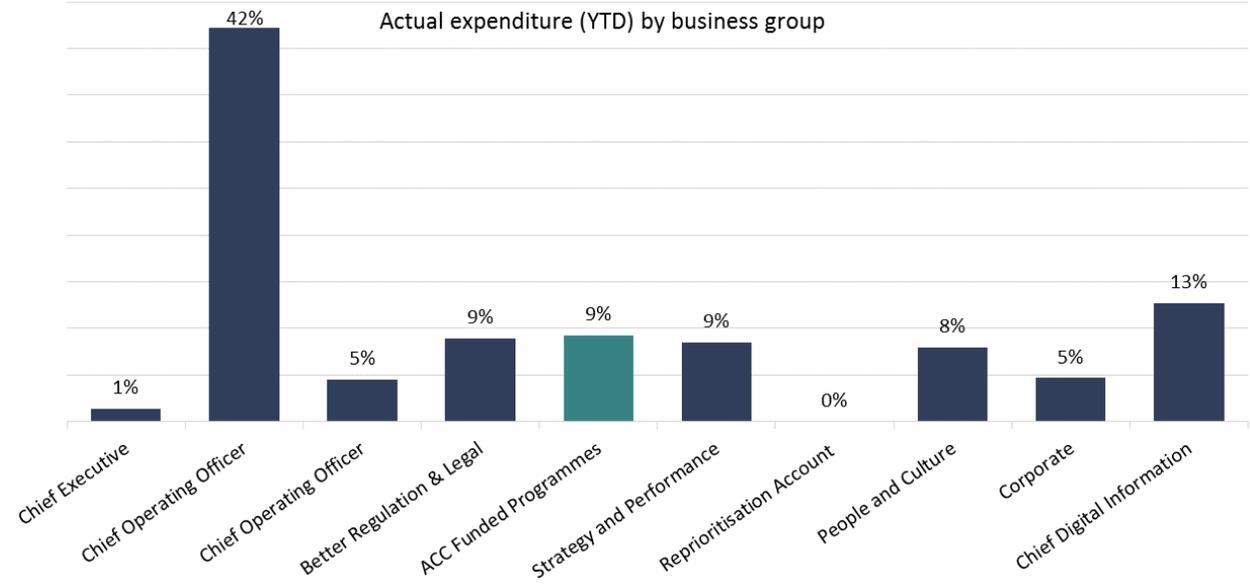
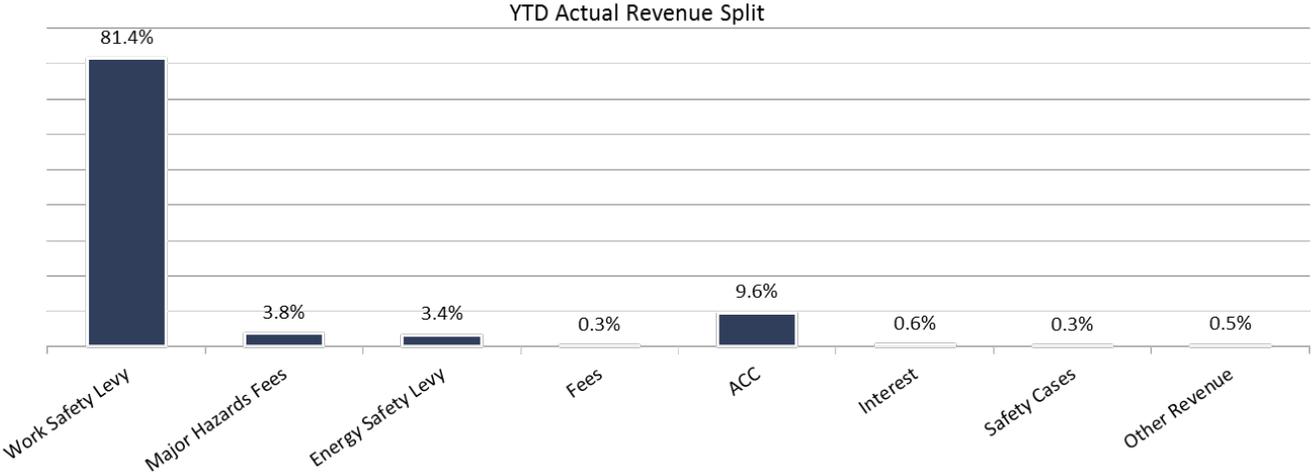
## Finance Key Points

The first quarter of 2020/21 saw a higher spend than previous years and is reflective of a \$1.2m deficit. There is slower than expected capital spend, in particularly in ICT. WorkSafe has been requested to provide memo accounts of specific revenue and expenditure, but these were not available for this quarter but will be included in future reports.

## Financial Performance (Year to Date 30 September 2020)

	Actual \$000	SPE \$000	Variance \$000	Full Year SPE \$000	Comment
<b>Revenue</b>					The net deficit of \$1.2m is a negative variance against budget.
Revenue Crown	28,866	27,439	1,427	109,728	
Interest Revenue	209	143	66	541	The SPE Crown Revenue does not include \$7m of additional funding
Other Revenue	3,484	5,245	(1,761)	20,906	WorkSafe will receive for Refrigeration, B19 Harm Prevention funding and COVID-19 Response.
<b>Total Revenue</b>	<b>32,559</b>	<b>32,827</b>	<b>(268)</b>	<b>131,205</b>	
<b>Expenditure</b>					The net overspend arises from:
Personnel and contractors	19,749	21,400	1,651	87,390	a. Incurring double run costs associated with the MBIE Shared Services
Depreciation	995	818	(177)	6,035	Fee, due to a slower than expected separation of ICT services and delays
Other expenditure	13,058	10,573	(2,485)	41,969	in key ICT projects.
<b>Total Expenditure</b>	<b>33,802</b>	<b>32,972</b>	<b>(1,010)</b>	<b>135,394</b>	
<b>Surplus/(deficit)</b>	<b>(1,243)</b>	<b>36</b>	<b>(1,279)</b>	<b>(4,189)</b>	b. \$0.986m spend to 30 September on Operation Whakaari/White Island

# WorkSafe Financial Performance (2 of 4)



## WorkSafe Financial Performance (3 of 4)

### Summary balance sheet (as at 30 September 2020)

	Actual \$000	Budget \$000	Variance \$000	Full Year Budget \$000	Commentary
Cash and bank	494	2,131	(1,637)	5,045	
Investments	32,500	31,500	1,000	14,000	
Debtors	11,053	3,401	7,662	1,700	Large invoices for ACC & MHF levies remain outstanding
Fixed Assets	18,610	24,563	(5,953)	24,847	Less spend due delays in various projects (ICT \$1.5, and Facilities \$0.569m)
<b>Total Assets</b>	<b>62,657</b>	<b>61,595</b>	<b>1,062</b>	<b>45,592</b>	
Creditors and Payables	9,629	10,713	1,084	5,000	Lower than budget, but still high due to high accrual values
Employment Liabilities	6,209	5,674	(535)	6,000	
Income in Advance	15,810	14,285	(1,525)	6,693	Slower than expected spend on funded projects
Long Term Loan - Refrigeration	985	0	985	-	
<b>Total Liabilities</b>	<b>32,633</b>	<b>30,672</b>	<b>(1,961)</b>	<b>17,693</b>	
<b>Equity</b>					
Opening Equity	31,268	27,119	4,419	27,619	Last year's surplus and capital injection rolled into opening balance
Memorandum Accounts	-	4,337	(4,337)	4,253	
Surplus/(Deficit)	(1,244)	(533)	(711)	(4,673)	YTD Surplus
<b>Total Equity</b>	<b>30,024</b>	<b>30,924</b>	<b>(900)</b>	<b>27,199</b>	

## WorkSafe Financial Performance (4 of 4)

### Summary cash flow (as at 30 September 2020)

	Actual \$000	Budget \$000	Variance \$000	Full Year Budget \$000	Commentary
<b>Operating Cash Flows</b>					
Receipts from Crown	28,866	27,439	1,427	109,758	The movements in cash reflect the lower spend in capital and operating as described above.
Receipts from Other Revenue/Interest	185	9,032	(8,847)	15,767	
Payments to Suppliers/Employees	(37,410)	(35,703)	(1,707)	(131,126)	
<b>Net Operating Cash Flows</b>	<b>(8,359)</b>	<b>768</b>	<b>(9,127)</b>	<b>(5,601)</b>	
<b>Investing Cash Flows</b>					
Net Investments	5,000	(1,500)	6,500	16,000	
Net Asset Purchase	(1,862)	(2,234)	372	(10,950)	
<b>Net Investing Cash Flows</b>	<b>3,138</b>	<b>(3,734)</b>	<b>6,872</b>	<b>5,050</b>	
<b>Financing Cash Flows</b>					
Capital Contribution	-	-	-	500	
Loan – Refrigeration	985	-	985	-	
<b>Net Financing Cash Flows</b>	<b>985</b>	<b>-</b>	<b>985</b>	<b>500</b>	
<b>Cash Movement</b>					
Net (decrease)/increase in cash	(4,236)	(2,966)	(1,270)	(51)	
Opening Cash	4,730	5,097	(367)	5,097	
<b>Closing Cash</b>	<b>494</b>	<b>2,131</b>	<b>(1,637)</b>	<b>5,046</b>	

# Budget 19 (B19) Funding Deliverables: Dashboard Report

Objectives & Context	Key Indicators	B19 Delivery Confidence
<b>Investment Objectives:</b>	Overall	Finalising the outputs for meeting joint Ministers information requirements for seeking release of Budget 19 contingency funding
1. Strengthen and sustain harm prevention across New Zealand.	Budget	Funding for WorkSafe's Digital Transformation is contingent to joint Ministers approval to release to B19 capital funding
2. Develop and grow our capability and capacity to be a modernised regulator.	Scope	Delivery is aligned to scope
3. Build and improve intelligence and digital services.	Key Risks /Issues	B19 Contingency funding information requirements not fully met, delaying release by joint Ministers; Joint WorkSafe-MBIE agreement separation roadmap not reached impacting delivery and cost. Mitigation: Governance with agencies
B19 is a key enabler for WorkSafe becoming an intelligence driven regulator by 2022/23, on its journey to become a modern regulator by 2030.	Resources	Ramp up of resourcing to support Digital programme mobilisation in quarter three
	Benefits / outcomes	Benefits Realisation Plan updated and agreed with ELT. Benefit achievement is reliant on B19 contingency funding
	Stakeholder	Stakeholder, communication and engagement plan in place and be administered
	Schedule	Delays with Training and Development, Roadmap Separation delay, Work Related Health Initiatives due to Covid-19. Impact is to timeline only not cost or overall outcomes

Streams	Quarter One Deliverables	Key milestones	Key indicators	Benefits	Budget 20/21 \$m	Actual To date \$m	Milestone Tracking to Benefits
<b>Work Related Health Harm Prevention</b>	<ul style="list-style-type: none"> <li>Health and Technical Service function established to deliver core aspects of the Work Related Health Programme</li> <li>Engagement with MoH on Carcinogens Action Plan</li> </ul>	<ul style="list-style-type: none"> <li>Integrate carcinogens action plan into Ministry of Health national cancer action plan by May 21.</li> <li>Complete workers exposure survey based on Australian Workers Exposure Survey (AWES) approach by May 21.</li> <li>Agree approach and option for Exposure Database by May 21.</li> </ul>	1.5% decrease annually from Dec 2022 for work related fatalities, serious non –fatal work related acute injury, week away form work. 1.5% decrease in exposures from Dec 2026 Reduced social cost from WorkPlace harm <i>(targets to be agreed once exposure database is in place)</i>	#1 Fewer people are harmed as a result of work #2 Reduced economic costs to New Zealand from workplace harm	3	0.15	
<b>Knowledge, Evidence and Insights</b>	<ul style="list-style-type: none"> <li>Third iteration of the Company Risk Model being piloted</li> <li>Pumahara / Evidence Led Decision and Risk capability model (V1.0)</li> </ul>	<ul style="list-style-type: none"> <li>Embed the concepts of risk, risk factors and what are modifiable risks at the core of all WorkSafe decision making (through the ELDAR project) by Jun 21.</li> <li>20% of new interventions started in the previous financial year for MSD and Carcinogens are insights driven informed by a deep and integrated understanding of the system of harm by Jun 22.</li> <li>Smart profiling system to provide the organisation with fast, enhanced and self-serviced Intel profiles by Jun 2022.</li> <li>60% of new interventions started in the previous financial year for MSD and Carcinogens and 20% psychosocial are insights driven informed by a deep and integrated understanding of the system of harm by Jun 23.</li> </ul>	Incremental improvements for Work-Related Health Programme initiatives MSD and Carcinogens, and #BetterWork by Jun 21 Knowledge management model by Nov 21 Levers are being adjusted based on insights to better target intervention by Jun 22 <i>(baseline and targets to be agreed for key indicators aligned to dates, refer BRM)</i>	#3 Increased regulatory effectiveness #4 Interventions are targeted for better outcomes for NZ	0.35	0.06	
<b>Digital and Information</b>	<ul style="list-style-type: none"> <li>WorkSafe Digital Strategy and Digital Business Work Plan developed</li> <li>Service Design Values Stream defining current and key pain points to be considered for the future state</li> </ul>	<ul style="list-style-type: none"> <li>Board approval of the Digital Strategy and Digital Business Work Plan by Nov 20.</li> <li>Staff surveying to gain staff view on appropriate tools and platforms to do their job effectively Jun 21.</li> <li>Identify efficiency dividend from baseline for 21/22 and for outyears from by Jun 21.</li> </ul>	<i>To be agreed</i> – potential indicators are: Shift from manual processing to automation Responsiveness of systems Staff surveying to confirm staff have the right tools and platforms to be effective.	#5 Increased efficiency through better processes and systems	31.6	0.0	
<b>People, Culture &amp; Safety</b>	<ul style="list-style-type: none"> <li>Values refreshed</li> <li>Safety Strategy Review</li> <li>WorkSafe Assessed as a 'Performing Organisation' (for Health, Safety, and Wellbeing by SafePlus)</li> </ul>	<ul style="list-style-type: none"> <li>Staff's assessment of being a 'secure and supported' to establish baseline in Dec 20.</li> <li>Targeted Development Programme implemented delivered by Mar 21.</li> <li>Cohort training and Inspector development implemented by Mar 21.</li> <li>Define culture today and desired future culture by Apr 21.</li> </ul>	Staff engagement surveys Shift in attrition rate by area and role Shift in capability to better align with becoming a modern regulator	#6 Secure and supported workforce	1.92	0.15	