

Overall Key Points

The strategic indicators from the 4 Year HSW Plan are highlighted in the scorecard: the notable performance exception is the H&S NPS which increased in the last Pulse Survey.

There have been 3 serious incidents since the last report: one of these involved a finger amputation using the same type of saw (at another site) from an incident in February. The other 2 incidents resulted from prisoner assaults.

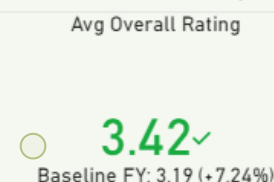
The Environment Scan highlights 4 prosecutions taken by WorkSafe since May in relation to the safe use of machinery. WorkSafe have also filed 13 charges in relation to the Whakaari/White Island eruption these include 3 individuals charged and one charge in relation to the duty of a PCBU.

Monthly Metrics: 2020/21 FYTD*

Previous Period: 2019/20 FY

Lead Indicators

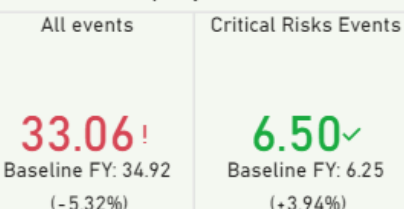
System Assessment Rating



Rating by Category



Near Miss Reporting Rate (per 100 FTE per year)



Critical Risk Observations (CRO's)



Just Culture Score

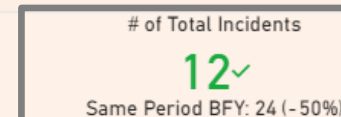


Health, Safety & Wellbeing Net Promoter Score (NPS)



Lag Indicators

Serious Incidents



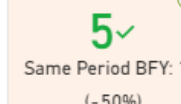
of Notifiable Incidents



of High Potential Incidents



Injury/illness



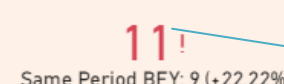
Incidents



HPI Incident Rate (per 100 FTE per Year)



of Serious Assaults



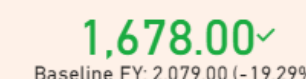
Lost/Restricted Time Injuries Rate (per 100 FTE per year)



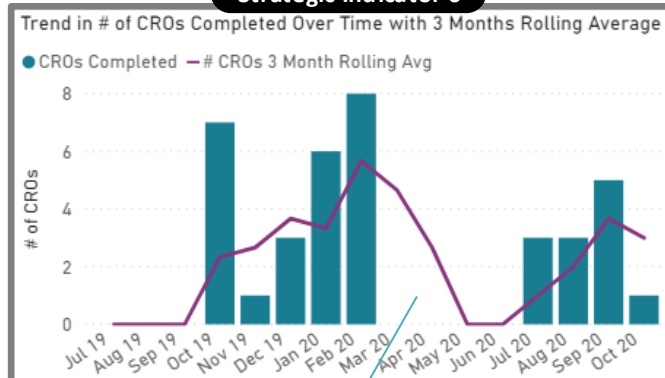
Avg # of Employee Work Related Injury Days - Absence



Avg # of Employee Work Related Injury Days - Restricted/Alternative Duties



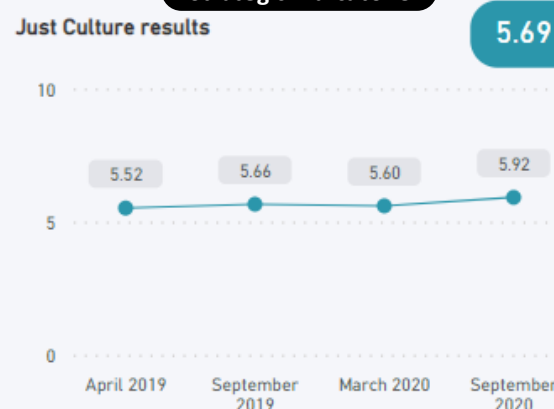
Strategic Indicator 6



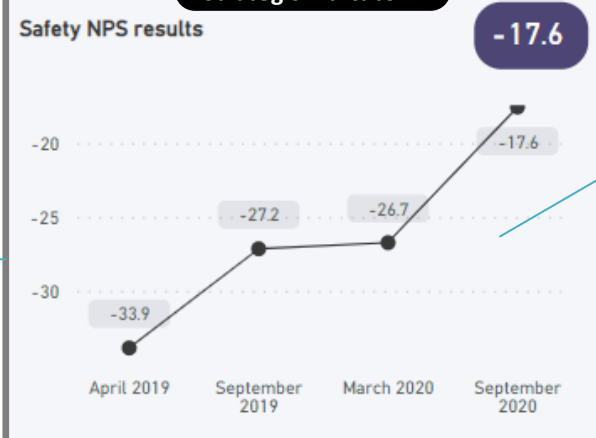
COVID-19 saw CRO numbers decrease; with a renewed increase in activity afterwards. This number is expected to continue increasing as the total number of leaders extends now to 68, of which 52 (76%) have already received training.

Since the last survey, there has been an increase in both the Just Culture and S&W Net Promoter score. In both measures, newer staff tend to be more positive.

Strategic Indicator 5



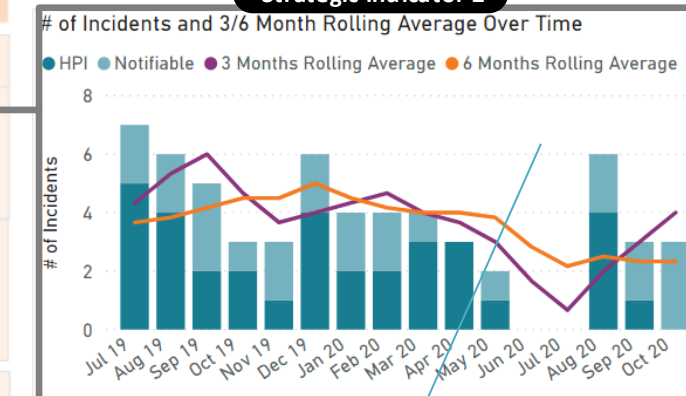
Strategic Indicator 4



S&W NPS increase of 9 points is substantial and continues the positive trend seen over the last 12 months.

August has seen the maximum in days lost per month for the current FY. This number may continue to decrease as a result in the reduction of Lost/Restricted Time injuries seen in April.

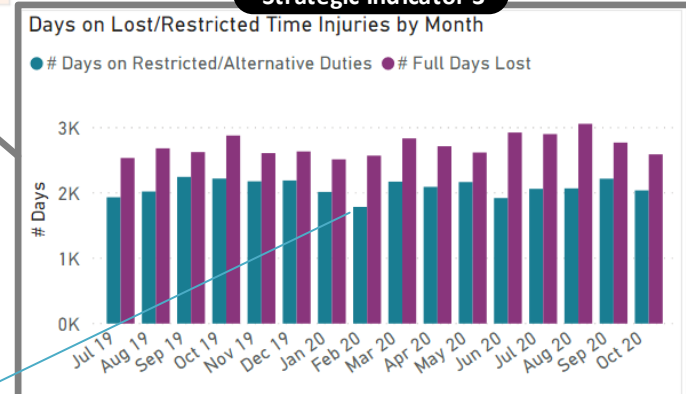
Strategic Indicator 2



The number of Notifiable incidents has remained in line with last year's; while the number of HPIs has decreased. This suggests a decrease in reporting, as opposed to safety improvements.

The number of Serious Assaults (as reported on COBRA) is tracking to be 20% higher than in the same period last FY. Since the last report, 3 assaults have met the threshold to be notified to WorkSafe.

Strategic Indicator 3

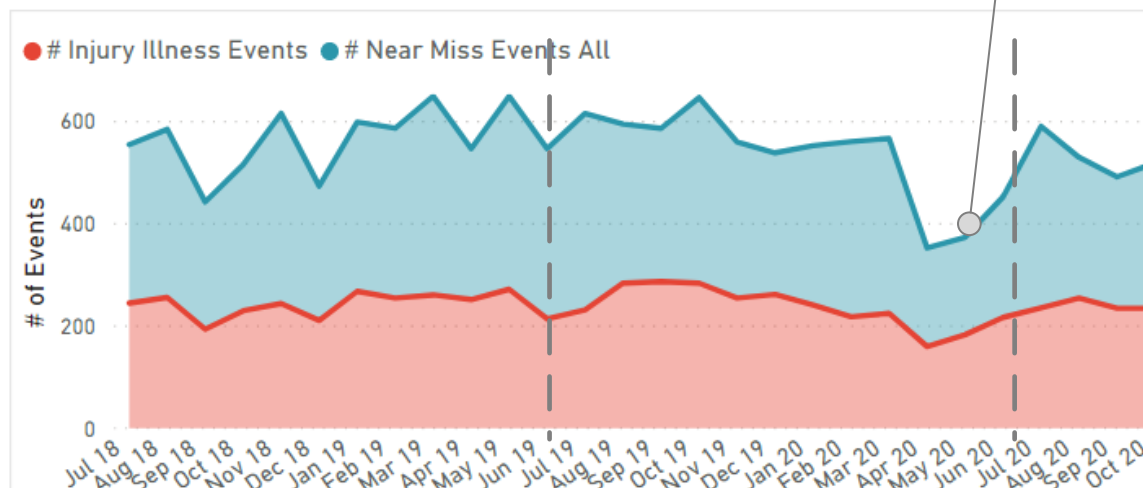


Note:
1) Rates are calculated as number per 200,000 hours worked, which represents the number of hours worked by 100 full time employees per year.
2) Same Period BFY: Matching period (up to the end of the month) on the Baseline Financial Year.
3) Strategic Indicators 1 (Wellbeing Perception) and 7 (Critical Control Effectiveness) are still in development.
* As at 31/10/2020.

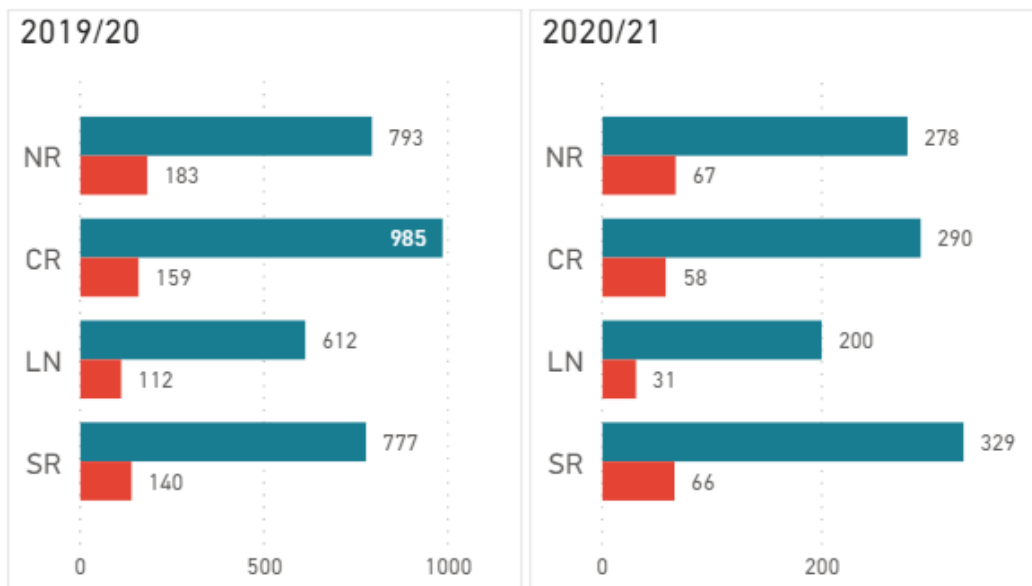
Near Miss and Injury Events

With the exception of the period between April and June 2020, reporting on Tracker has remained relatively stable since July 2018. During the same period, Corrections has seen a steady increase in the number of staff. This, when combined with a lack of increase in reporting has resulted in a 15% decrease in the Near Miss reporting rate between 2018/19 and 2020/21. Violence followed by Biological Hazards are the most commonly Critical Risks reported on Tracker for 2020/21 FYTD.

There was a 38% decrease in Near Miss and a 18% decrease in Injury/Illness events during the COVID-19 lockdown.

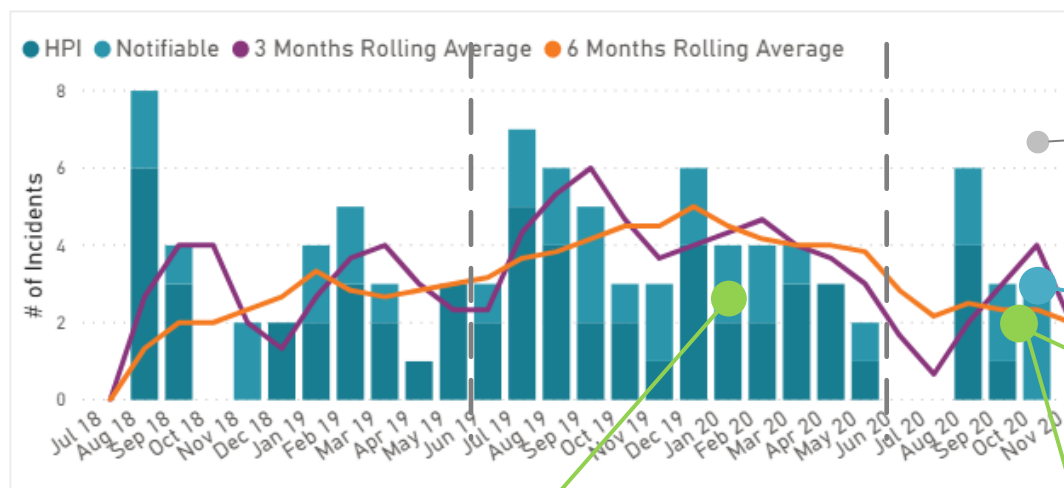


● All Near Misses (Including Critical Risks) ● Critical Risk Near Misses



Between 2019/20 and 2020/21, Southern Region has seen the largest increase in the Near Miss reporting rate (26%) and in the Critical Risk Near miss rate (40%). Lower North continues to have the lowest reporting rate. Violence & Aggression was the most commonly Critical Risk event reported for all regions.

Serious Incidents



Throughout 2019/20 serious incidents were notably higher than 2018/19. From May – July 2020 there was only 1 HPI and 1 Notifiable Incident reported, this led to the 3 mth average reaching its lowest levels. From August-October there have been 7 Notifiable Incidents (2.3/month); bringing the number of notifiable events to a similar peak as the one observed for the same period last financial year.

3 Notifiable Illnesses, Injuries or Incidents during Oct:

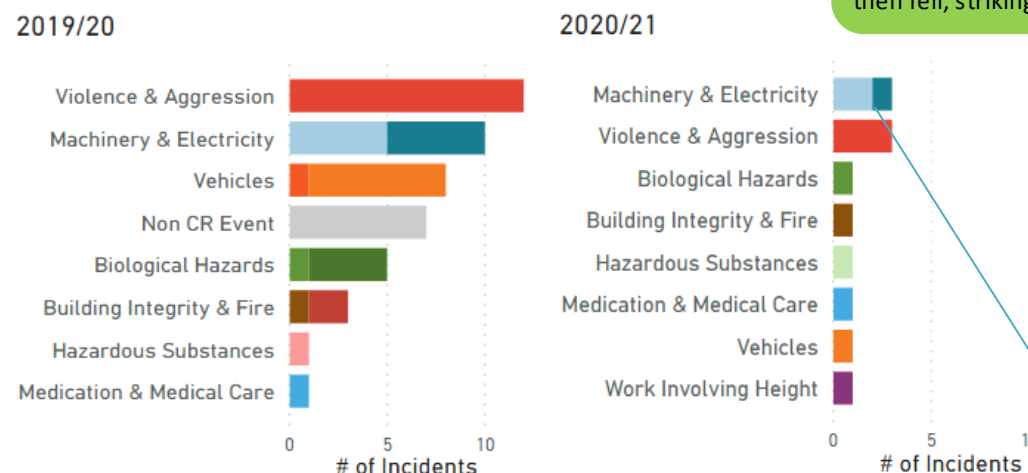
- Prisoner suffers finger amputation using woodworking snip-saw
- CO assaulted by prisoner suffered fractured jaw and eye socket
- CO assaulted by prisoner suffering a fractured wrist.

Prisoner suffers finger amputation operating woodworking snip-saw: Prisoner was able to reach dangerous moving parts without activating saw's original safeguards. **Action:** A Safety Alert was issued including instruction to lock-out/tag-out all Holytek snip saws until assurance that safeguards meet Safe Use of Machinery Standard. Sites provided source of suitably qualified persons to certify additional safeguards met that Standard. Work underway to introduce Risk Assessment Policy and Framework with Guidelines for Small Plant & Machinery including risk assessment tools in early 2021.

CO assaulted by prisoner and loses consciousness: Site investigation found that Remand prisoner was being moved appropriately from cell to yard under mechanical restraint. Movements team were conducting rub down while prisoner was positioned facing wall when he kicked out to rear striking CO, who then fell, striking head on wall.

CO assaulted by prisoner suffered fractured jaw and eye socket: Site investigation found spontaneous and unprovoked assault by Low Security prisoner during lock for face-to-name muster check. No indication from prisoner group that assault would occur. Unit had correct staff: prisoner ratio and subsequently determined that assault was incited by other prisoners who have been removed from this unit.

Serious Incidents by Critical Risk

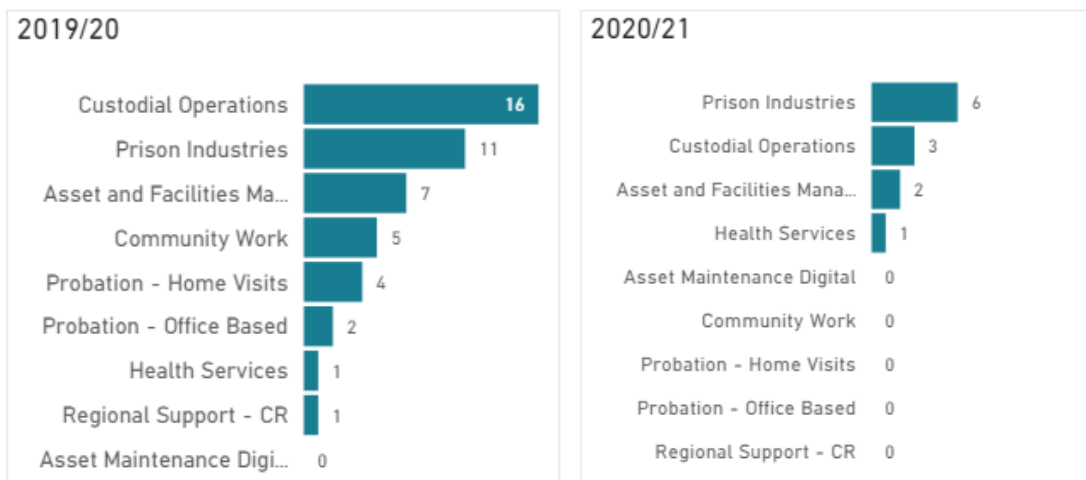


Since July 2019 68% of the Notifiable incidents relate to Violence & Aggression, and Machinery & Electricity. For the same period, the most common Critical Risk for HPIs was Vehicles (20%).

Since the last report, there have been 3 Serious Incidents related to Violence (there had been none previously in 2020/21). 2 of these were at Auckland Prison and all 3 met the threshold to be notified to WorkSafe.

Four of the 5 recently reported Notifiable Events took place in Northern Region, with 3 at Auckland Prison.

Serious Incidents by Business Activity



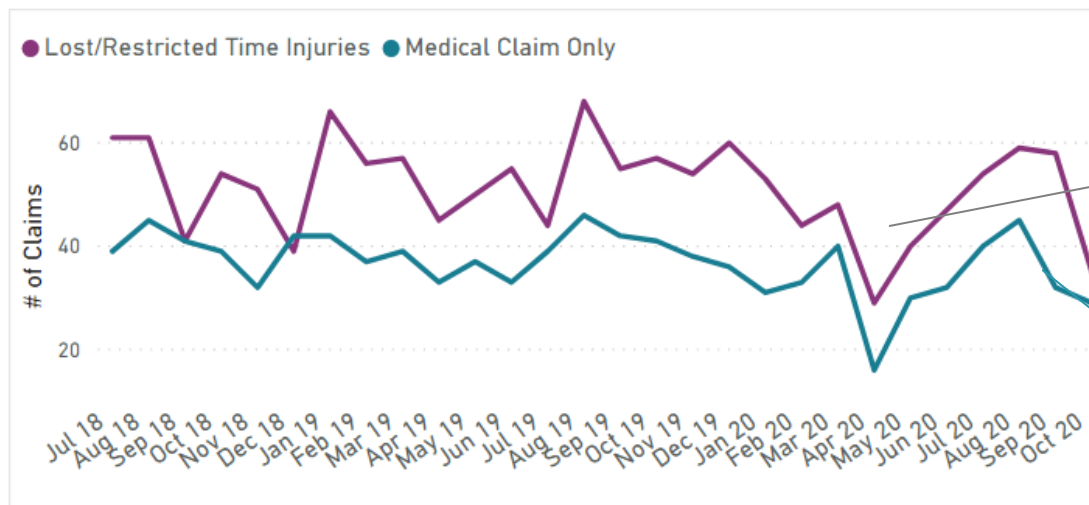
There have been 2 finger amputations (Feb and Oct) in Prison Industries involving same type of saw.

Since the last report, there have been 3 incidents in Custodial Operations; however for the first quarter it is still tracking to be lower than 2019/20.

At the end of October, Prison Industries is showing an increase on incidents reported in 2019/20, with 55% of last year's total already reported.

Since July 2019, Custodial Operations and Prison Industries have accounted for 56% of the serious incidents.

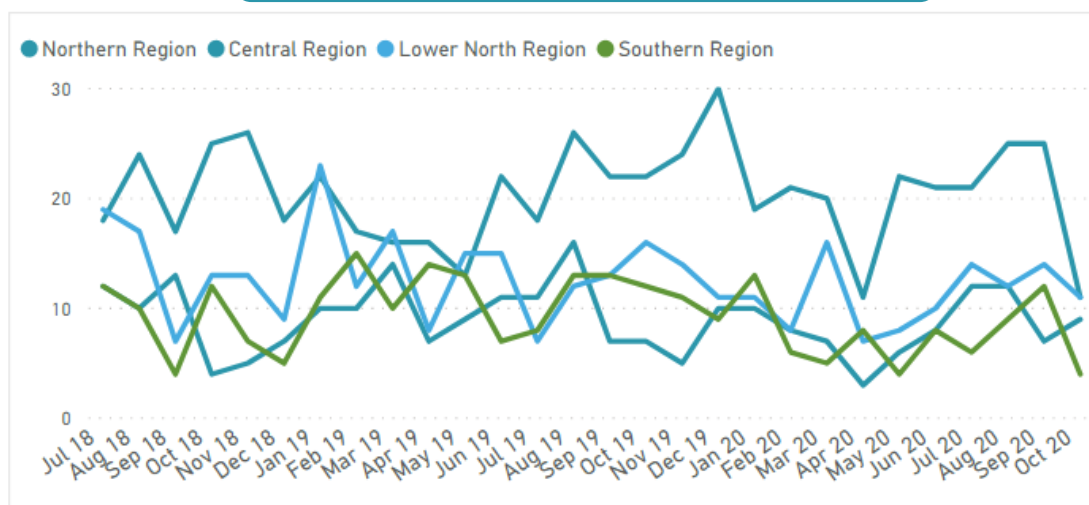
Injury Incidence



There was a decrease in the number of work related injury claims in April 2020, when New Zealand was under Alert Level 4. This has caused the 2019/20 FY injury rate to be slightly lower than the previous year's.

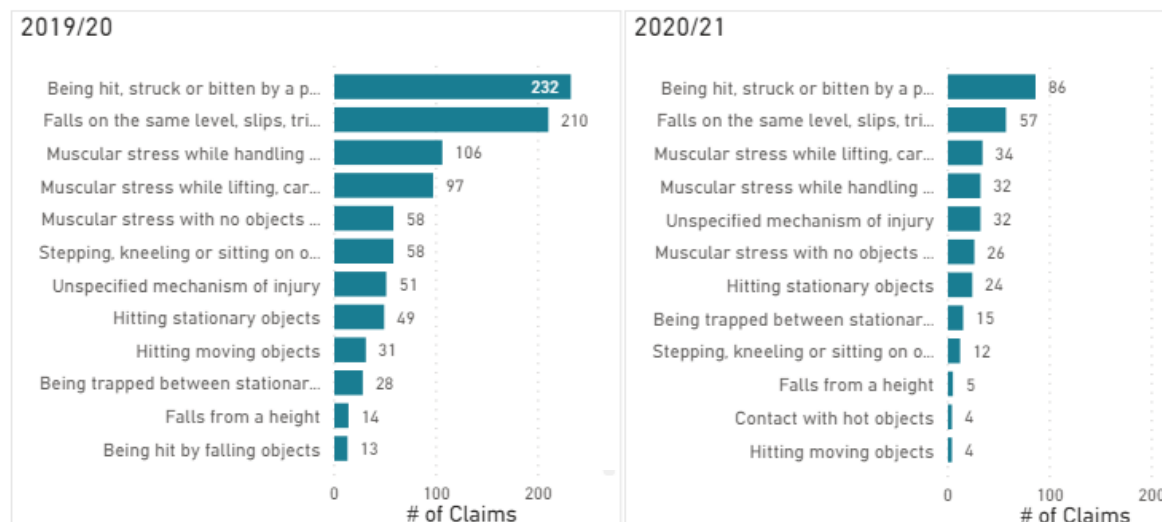
2020/21 Injury rate is in line with last year's rate. NB: Claims are shown by accident date, and recent injuries may not have triggered a claim yet.

Lost/Restricted Time Injuries by Region



Northern Region has the largest number of Lost/Restricted Time Injuries, and its rate is tracking in line with 2019/20. Southern Region's Lost/Restricted time injury rate is tracking to be ~15% lower than the previous FY rate.

Top Injuries by Mechanism

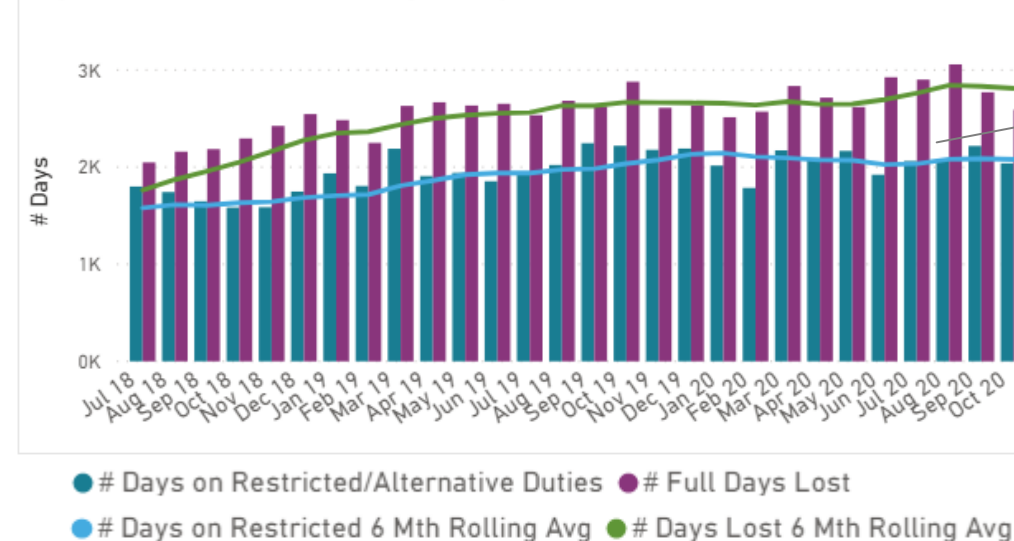


* Only Top 12 Mechanism are displayed.

'Being Hit, struck or bitten by a person' continues to be the most common Mechanism of Injury (23% of the claims in 2019/20 and 24% in 2020/21). The proportion of claims related to 'Falls on the same level, slips, trips, stumbles' has decreased slightly from 21% to 16% between both periods.

Injury Management

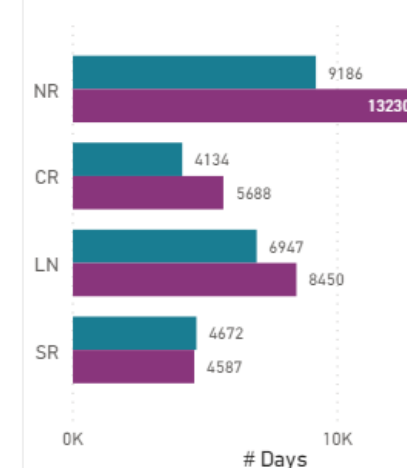
Days on Lost/Restricted Time Injuries by Month



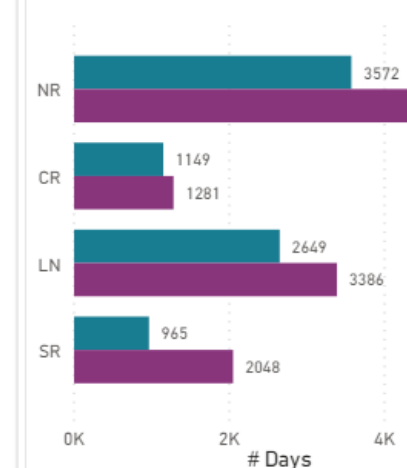
The number of days lost increased sharply from 2017 to late 2018 (not shown), and has had a small increase since.

The number of days lost per month peaked in August 2020, and shown a slight decrease during the last two months. Changes in the number of new injuries may have a delayed effect in the number of Days Lost/on Restricted duties, due to injuries that extend over the month the accident took place. The recent trend may be related to the decrease in the number of new injuries observed in April 2020.

2019/20



2020/21



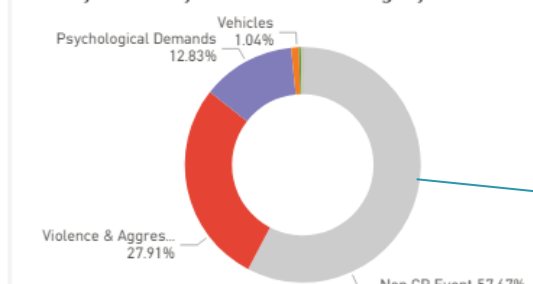
Since the last report, Central Region has continued the trend of decreasing Full Days Lost to reach its lowest level (278 days) over the last year in October 2020. Southern Region Number of Days lost has continued to increase, while the opposite trend can be observed for the number of Days on Restricted/Alternative duties. This means less injuries are being managed by assigning the employee alternative duties or reduced tasks. This change was mostly driven by Christchurch Men's Prison and OCF.

Injury Management: Incapacity by Critical Risk



Less than 2% (12) of the total claims were related to Psychological Demands, but these accounted for almost 13% of the days of incapacity. This is related to this CR having one of the highest median duration of incapacity. Note: Less than 5 claims were related to vehicles, making the estimation of the median imprecise. These claims however, amounted to 1% of the total days of incapacity.

Days Total by Critical Risk Category

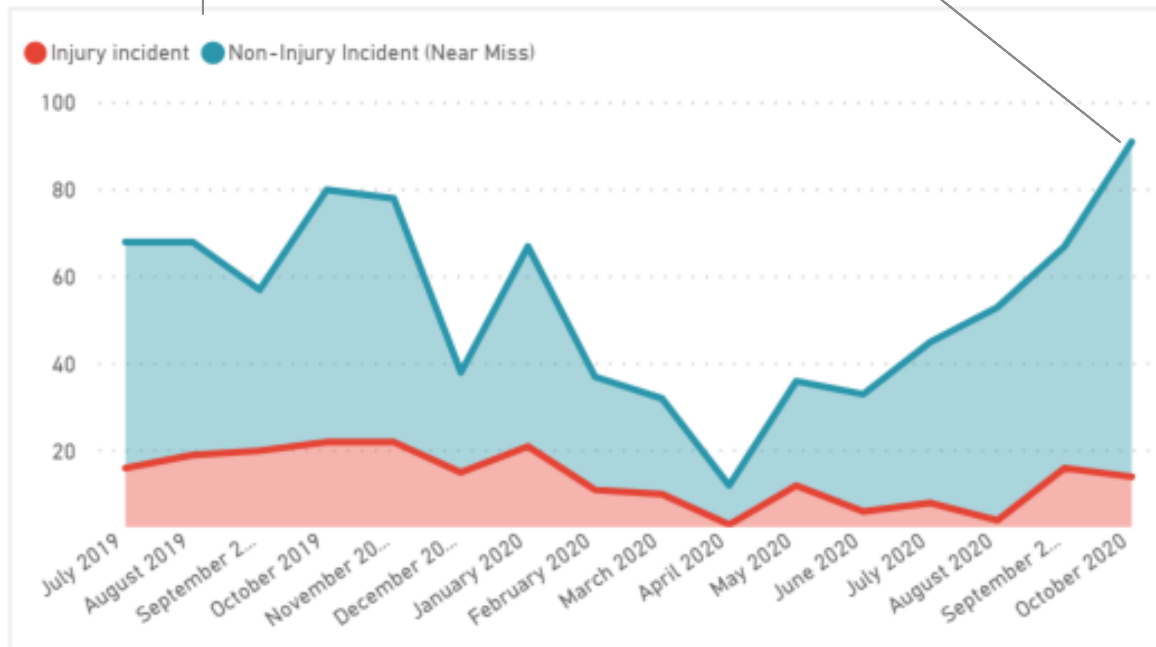


Of the Non CR Events, 'Falls..' and 'Muscular Stress..' accounted for ~20% of the total days Lost/Restricted each.

Near Miss and Injury Events

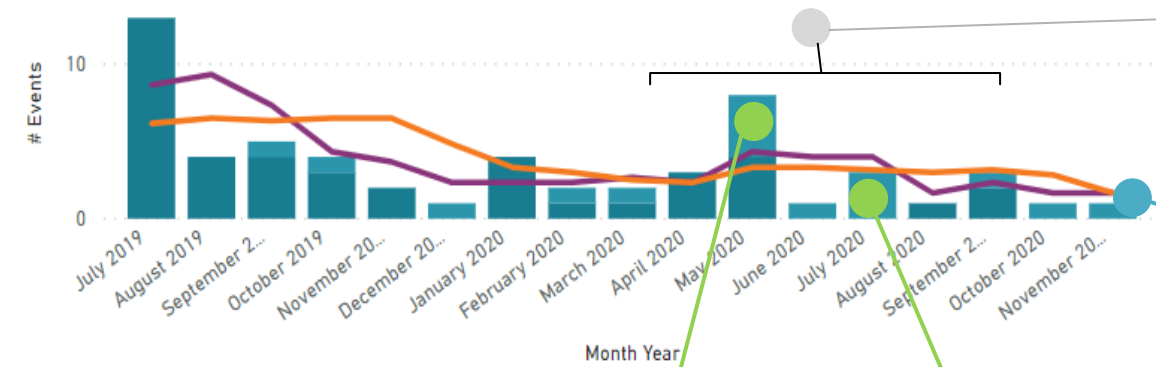
While 22 partners are included in this chart, [redacted] account for 46% for near miss received, highlighting the disparities in reporting culture with the other contractors.

The total number of Near Misses reported By Our Partners in October (76) is the highest it has been since January 2018, highlighting a recent improvement in the reporting by those contractors we receive reports from. This may have been influenced by some 'Near Miss Reporting' guidance that was sent out to our Infrastructure partners to raise concerns about the low levels being received.



Serious Incidents

Incident Type ● HPI ● Notifiable ● # Events 3 Month Rolling Avg ● # Events 6 Month Rolling Avg



There were a number of serious incidents related to service strikes from March-July. The Infrastructure Portfolio has developed Safety with Underground Services Guidance for principal contractors reflecting the Departments expectations that best practice in safe systems of work are implemented to manage this risk.

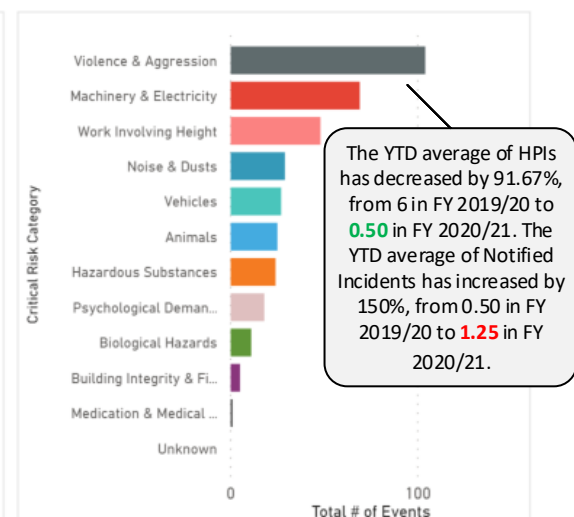
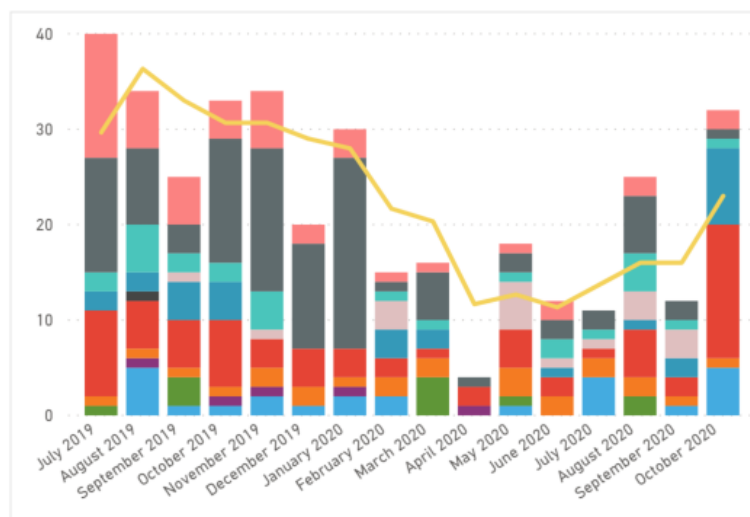
[redacted] employee
[redacted] subcontractor) fell through unsecured penetration cover but prevented himself from falling 3.04m.

Gas Line Service Strike [redacted] No GPR conducted; however, *beforeUdig* and 'as built' plans consulted but services struck were 9m away from where expected and were laid without signage/warning tape. **Actions:** [redacted] strengthens systems to include comprehensive excavation pack to subcontractors, including GPR survey. Subcontractors must submit Task Analysis for review with site walk prior to [redacted] issuing Ground Disturbance Permit. No excavations to start without spotter and [redacted] site manager supervising. Learnings from event shared through [redacted] Regional HSE forums.

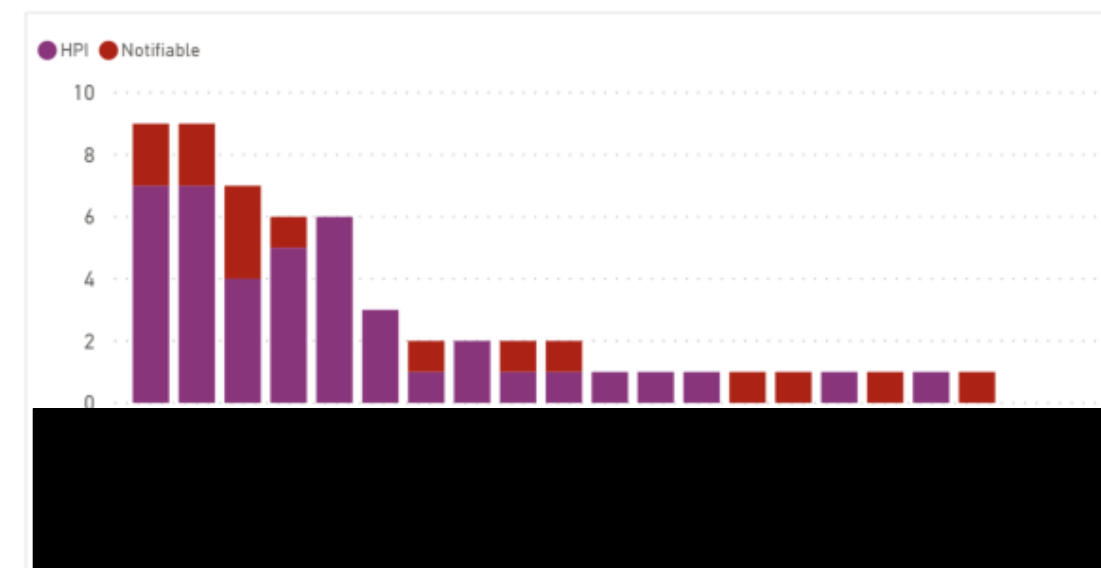
Gas Line Service Strike [redacted]: Excavation conducted under Ground Disturbance Permit that included consulting service plans, GPR and CAT surveys that did not identify services struck. Service plans for private land adjacent to excavation had not been obtained (but subsequently reviewed and did not show services struck either) and GPR results were inconclusive due to tree stumps and roots. **Actions:** [redacted] processes enhanced to include project team consulting adjacent private land owners' service plans and review inconclusive GPR results prior to issuing permit and to determine if less-invasive hydro-vac required.

Critical Risk Events







Following the low incident trends over the period covering Covid-19 Alert Levels, the trend for critical risk-related incidents has continued to increase. Of note is a significant increase in the number of events reported under the Infrastructure and Facilities Portfolio in October. This trend is reflected in the number of near misses reported therefore likely continues to reflect better reporting rather than a sudden increase in incidents.



Serious Incidents by Contractor



A following table is a summary of prosecutions under the HSW Act 2015 as reported by WorkSafe

	Total Fines & Reparation	Description	Critical Risk	Findings/Safety Lessons Learnt
Sabre Logging Co Ltd	\$60,000	Worker was operating a heavy vehicle to extract logs from a slope. A log snagged resulting in the vehicle losing balance and rolling downhill resulting in fatal injuries.		Need to develop and maintain a safe system of work that ensured the ongoing management of risks posed by using mobile plant on steep slopes, including: - developing, implementing and monitoring a site specific hazard plan appropriate to the gradient and terrain - providing effective instruction to staff regarding safe working on slopes.
Addiction Foods NZ Limited	\$132,000	Worker was being trained on a packing machine. The worker accidentally pressed the wrong button, causing some high temperature sealing bars to close trapping her fingers, as a result she suffered third degree burns to two fingers and a thumb.		- Need to ensure a systematic risk assessment of the machine is undertaken by a competent person and the machine is adequately guarded. - An effective system is required to ensure workers are adequately trained, supervised, and competent to use the machine prior to operating it. - Need to ensure health and safety procedures and documentation are adequate, communicated to, and understood by workers.
Oriental Cuisine Limited	\$260,000	Worker was using a pastry rolling machine when his left hand was caught and crushed between two running rollers. Resulted in serious injury, including the complete de-gloving of his index and middle fingers to the first joints, as well as fractures to those joints.		- Need to ensure an adequate risk assessment is conducted by a competent person to identify and manage the risks associated with the machine. - Need to ensure the machine is adequately guarded. - Need to develop, implement and monitor a safe system of work for the operation of the machine.
Ōtago Polytechnic	No fine imposed	Student was using draw saw to cut a length of timber into blocking. His left hand slipped off the piece of timber and came into contact with the saw blade, as a result he sustained partial amputation of his middle finger.		- Need to ensure an effective risk assessment is completed so that the risks related to operating the saw could be identified and managed. - Need to ensure the saw is adequately guarded.
DHG Building Limited	\$50,000	WorkSafe Inspector observed inadequate fall protection in place to protect workers from the risk of a fall from height. On a subsequent visit the Inspector observed workers at the defendant's site working from the second level of the building in breach of the prohibition notice.		- Must have fall protection in place to protect workers from the risk of a fall from height. - Not to use scaffolds with scaffold tags that state "scaffold unsafe".
Ōtago Rural Management Ltd	\$270,937	Worker was at one of the farms managed, when attempting to lift a top gate roller that had derailed it was dropped, the worker suffered a concussion and spinal injury as a result.		- Need to ensure that any maintenance issues with plant were reported promptly and carry out necessary repairs without delay. - Provide a safe system of work for maintenance of plant including routine maintenance checklists, identification of the risks from plant failure and the provision of effective training.

WorkSafe file charges in relation to the Whakaari/White Island eruption

On 30 November WorkSafe filed charges against 13 parties in relation to the Whakaari/White Island eruption in December last year. WorkSafe was unable to name any of the parties charged as they have the right to seek name suppression at their first appearance in Court.

There are 10 organisations charged under the Health and Safety at Work Act. Each charge carries a maximum fine of \$1.5 million.

- Nine face a charge related to a failure to ensure the health and safety of workers and others
- One faces either a section a charge related to the duty of a PCBU that controls a workplace.

There are three individuals charged under the Act which requires directors, or individuals with significant influence over a company to exercise due diligence that the company is meeting its health and safety obligations under the Act. Each charge carries a maximum fine of \$300,000.

Recommendations:

Note that four of the prosecutions taken by WorkSafe since May 2020 have related to the safe use of machinery. Reoccurring findings in these cases related to inadequate safeguards and the need for risk assessments to be completed on machinery.

These were also themes that were identified in recent Learning Reviews into finger amputations (in Feb and Oct) in Prison Industries (both involving Holytek snip saws, although the second incident involved saw that had been modified). A Safety Alert was issued including instructions to lock-out/tag-out all Holytek snip saws until assurance that the saws' meet the AS4024 *Safe Use of Machinery* standard. WorkSafe has indicated that this standard is the accepted state of knowledge for the safe use of machinery and the minimum standard required. Sites were provided with a source of suitably qualified persons with relevant experience in certifying machinery to certify that these saws meet that standard.

A Risk Assessment Policy, Framework and supporting guidance is being developed, this will include Guidance for Small Plant and Machinery with practical risk assessment tools.